DOCUMENT RESUME

ED 225 305 EA 015 511

TITLE	Annual Evaluation Report. Fiscal Year 1982.
INSTITUTION	Department of Education, Washington, DC. Office of Planning, Budget, and Evaluation.
PUB DATE	82
NOTE	687p.; For related documents, see ED 207 264-265, ED 221 610, and ED 223 735. Some tables and graphs will not reproduce due to illegibility of original document.
PUB TYPE	Reports - Evaluative/Feasibility (142) -- Statistical Data (110)
EDRS PRICE	MF04/PC28 Plus Postage.
DESCRIPTORS	Adult Education; Bilingual Education Programs; Categorical Aid; Disabilities; Early Childhood Education; *Educational Assessment; Educational Improvement; Educational Objectives; Educational Research; Elementary Secondary Education; Equal Education; Federal Aid; *Federal Programs; Libraries; Minority Groups; Postsecondary Education; Program Descriptions; Program Effectiveness; *Program Evaluation; Rehabilitation Programs; Special Education; Tables (Data); Vocational Education

ABSTRACT

Presented in one volume, this 12th annual report to Congress provides program-by-program summaries of evaluation information on federally funded education programs as of July 1982 (including programs closed out under the Education Consolidation and Improvement Act). Introductory sections present the secretary's summary, listing important findings about major Department of Education (ED) programs; highlights of major evaluation studies completed in fiscal year (FY) 1982 on elementary, secondary, and postsecondary programs; and noteworthy uses of evaluation findings by ED staff and policy makers at federal, state, and local levels. Each program description describes the evaluation study's data sources and covers the program's mandating legislation, funding history, goals and objectives, operations, scope, progress and effectiveness, and contact person. Program descriptions are grouped under 6 ED offices, including elementary and secondary education (with 26 programs), bilingual education and minority language affairs (3 programs), special education and rehabilitation services (24 programs), vocational and adult education (8 programs), postsecondary education (31 programs), and educational research and improvement (17 programs). An appendix enumerates 52 active FY 1982 evaluation contracts, listing the contract number, funding history, brief description, contractor name, contract monitor name, and dollars obligated. (Author/RW)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION
CENTER (ERIC)

☒ This document has been reproduced as received from the person or organization originating it.

Minor changes have been made to improve reproduction quality.

- Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

ED225305

ANNUAL EVALUATION REPORT

FISCAL YEAR 1982

EA 015 511

U.S. DEPARTMENT OF EDUCATION
Office of Planning, Budget and Evaluation

CONTENTS

Foreword
Secretary's Summary
Highlights of Evaluation Results
Uses of Evaluation Results

A. Office of Elementary and Secondary Education

1. Education of Disadvantaged Children (Title I, ESEA)
2. Migrant Education Program (Title I, ESEA)
3. Program for Institutionalized, Neglected or Delinquent Children (Title I, ESEA)
4. Basic Skills Improvement Program
5. National Diffusion Network Program
6. Cities in Schools Program
7. Push for Excellence Project
8. Educational Improvement, Resources, and Support: Part C -- Improvement in Local Educational Practice
9. Strengthening State Education Agency Management
10. Emergency School Aid Act (ESAA Basic Grants Program)
11. Emergency School Aid Act (ESAA Nationally Competed Funds)
12. General Assistance for the Virgin Islands
13. Training and Advisory Services (Civil Rights Act of 1964, Title IV)
14. Follow Through
15. School Assistance in Federally Affected Areas (Impact Aid): Maintenance and Operations
16. School Assistance in Federally Affected Areas (Impact Aid): Construction
17. Allen J. Ellender Fellowships
18. Career Education
19. Teacher Centers Program
20. Teacher Corps Program
21. Financial Assistance to Local Education Agencies and Indian-controlled Schools for the Education of Indian Children - Part A
22. Special Programs and Projects to Improve Educational Opportunities for Indian Students - Part B
23. Special Programs Relating to Adult Education for Indians - Part C
24. Alcohol and Drug Abuse Education
25. Ethnic Heritage Studies Program
26. Program for the Gifted and Talented

B. Office of Bilingual Education and Minority Languages Affairs

1. Bilingual Education
2. Vocational Education - Bilingual Vocational Training
3. Transition Program for Refugee Children

C. Office of Special Education and Rehabilitation Services

1. Aid to States for Education of Handicapped Children in State-Operated and State-Supported Schools
2. State Grant Program
3. Preschool Incentive Grants
4. Regional Resource Centers
5. Deaf Blind Centers
6. Early Childhood Education
7. Severely Handicapped Projects
8. Regional Education Programs
9. Special Education Personnel Development
10. Recruitment and Information
11. Innovation and Development
12. Media Services and Captioned Films
13. Special Studies
14. Vocational Rehabilitation Basic Grants
15. Client Assistance Program
16. Rehabilitation Training
17. Comprehensive Rehabilitation Centers
18. Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Severely Handicapped Individuals
19. Special Projects and Demonstrations for Making Recreational Activities Accessible to Handicapped Individuals
20. Special Projects for Handicapped Migratory and Seasonal Farmworkers
21. Helen Keller National Center for Deaf-Blind Youths and Adults
22. Projects with Industry
23. Centers for Independent Living
24. National Institute of Handicapped Research

D. Office of Vocational and Adult Education

1. Vocational Education - State Grants and Innovative Programs
2. Vocational Education - Special Programs for the Disadvantaged
3. Vocational Education - Consumer and Homemaking Education
4. Vocational Education - Indian Tribes and Indian Organizations
5. Vocational Education - Programs of National Significance
6. Adult Education - State-administered Program
7. Community Education
8. Emergency Adult Education Program for Indochina Refugees and the Adult Education Program for Adult Immigrants

E. Office of Postsecondary Education

Overview - Postsecondary Education Programs

1. Pell (Basic Educational Opportunity) Grant Program
2. Supplemental Educational Opportunity Grants Program
3. State Student Incentive Grant Program
4. Guaranteed Student Loan Program
5. National Direct Student Loan Program

6. College Work-Study Program
7. Upward Bound Program
8. Talent Search Program
9. Educational Opportunity Centers
10. Special Services for Disadvantaged Students
11. Veterans' Cost-of-Instruction Program
12. High School Equivalency Program; College Assistance Migrant Program
13. State Student Financial Assistance Training Program
14. Training Program for Special Programs Staff and Leadership Personnel
15. Strengthening Developing Institutions Program
16. Minority Institutions Science Improvement Program
17. Biomedical Sciences
18. Law School Clinical Experience Programs
19. Legal Training for the Disadvantaged
20. Graduate and Professional Study Program
21. Fulbright-Hays Program
22. Language Training and Area Studies
23. Cooperative Education Program
24. Education Outreach Programs
25. Fund for the Improvement of Postsecondary Education
26. Land-Grant Colleges and Universities
27. College Housing Loans
28. Annual Interest Grants
29. Grants for Construction of Undergraduate Academic Facilities
30. Loans for Construction of Academic Facilities
31. Postsecondary Educational Institutions and Programs: Eligibility Determination and Agency Evaluation

F. Office of Educational Research and Improvement

1. Pre-College Teacher Development in Science
2. Territorial Teacher Training Assistance Program
3. Public Library Services
4. Interlibrary Cooperation
5. College Library Resources
6. Library Career Training
7. Library Research and Demonstrations
8. School Libraries and Instructional Resources
9. Strengthening Research Library Resources
10. Educational Television and Technology Programming
11. Metric Education
12. Consumers' Education
13. Women's Educational Equity Act Program
14. Arts in Education Program
15. Law-Related Education Program
16. Institute of Museum Services
17. National Institute of Education

Appendix A -- Evaluation Contracts Active in OPBE During Fiscal Year 1982

Foreword

This is the 12th annual report to Congress on Federally funded education programs and the third such report submitted by the Department of Education. Many of the programs described were transferred from the former Office of Education to the new Department in May 1980. Many other programs were transferred to the new Department at that time from other Federal agencies as a result of the Department of Education Organization Act. A number of programs reported on in past years were consolidated in July 1981 under the Education Consolidation and Improvement Act; as a result, fiscal year 1982 was a "close-out" year of program operations and this report presents a close-out chapter on each of those programs.

The Annual Evaluation Report responds to Congressional Mandates in Section 417(a) of the General Education Provisions Act, in Section 1246 of the Education Amendments of 1978 (Public Law 95-561), and in Section 1305 of the Education Amendments of 1980 (Public Law 96-374).

This year's report returns to the one-volume format of most previous years in its history. This is done largely in the interest of economy in cost and size, although the increased pressure on the time of a reduced staff was also a factor. Nonetheless, there are still introductory sections on the highlights of major studies completed during fiscal year 1982, an overview of the findings from studies and policy analyses in postsecondary education, and noteworthy uses of evaluation findings. The remainder of the report, as in past years, offers detailed program-by-program summaries of available information, and an Appendix on evaluation contracts active during fiscal year 1982.

Program descriptions and analyses are current as of July 1982, when drafts of program chapters were completed. Subsequent revisions were largely editorial in nature and did not necessarily include budgetary, legislative, program and evaluative data subsequent to that date. Information for each program includes:

- Legislation
- Funding History
- Program Goals and Objectives
- Program Operations
- Program Scope
- Program Effectiveness and Progress
- Sources of Data
- Contact persons for further information

Gary L. Bauer
Deputy Under Secretary for
Planning, Budget and Evaluation

ACKNOWLEDGEMENT

The following professional staff of Planning and Evaluation Service in the Office of Planning, Budget and Evaluation wrote or assisted with sections of the fiscal year 1982 Annual Evaluation Report. Specific individuals are listed as appropriate contact persons at the end of each program section.

State and Local Grants Division

Janice Anderson, Director
Kate Avery, Acting Director
Judith Anderson
James English
Rhonda Lewis
Paul Messier
David Shoemaker
Robert Stonehill
Eugene Tucker

Student and Institutional Aid Divison

Salvatore Corrallo, Director
Robert Bart
Robert Berls
James Maxwell
Daniel Morrissey

Quality and Equality Analysis Division

Frank Nassetta, Director
Gary Coleman
Kathy Crossley
Gerry Hendrickson
Arthur Kirschenbaum
Ann Weinheimer

Planning and Technical Analysis Division

Alan Ginsburg, Director

Coordination Staff

Robert Maroney, Director
Barbara Coates
Frederick Edelstein
Leona Edwards
Edward Glassman
Elaine Green
Murray Spitzer

Secretary's Summary

The Annual Evaluation Report of the Department of Education is prepared each year in response to a statutory mandate of the Congress. The law calls for evaluation of:

> "...the effectiveness of applicable programs...in achieving their legislated purposes together with recommendations which will result in greater effectiveness in achieving such purposes."

This mandate is challenging, not only because it is broad but also because evaluators have often had to invent new ways of describing and measuring education effectiveness in quantitative terms. The Department evaluation studies summarized in this twelfth annual Report represent a remarkable and continuing advance in reliability and validity of knowledge about Federal education programs during the last decade, in terms of describing how programs work and what effects they create. For example, this Report and that of last year provide information which was not available a decade ago about some characteristics of successful compensatory programs. Yet we still have much to learn about what specific steps a school district could take to improve effectiveness.

The information contained in the Annual Evaluation Report to the Congress is based on studies that have been completed most recently or are still underway. In some cases, the most recent studies concluded several years ago. Nonetheless, these reports are usually still valid and, in most cases, refer to programs or situations that have been relatively stable over time. The advantage of including information from older studies, when later ones are not available, is that each edition of the Report is a compendium of information available for each program administered by the Department of Education.

The following sections of this Summary present highlights of this year's Report for several of the Department's major programs.

Title I of the Elementary and Secondary Education Act (ESEA)

This program provides financial assistance to local educational agencies serving areas with concentrations of children from poor families, in order to meet "the special educational needs of educationally deprived children."

In March, 1982, the Department's Office of Planning, Budget, and Evaluation completed the biennially mandated comprehensive report to the Congress on the Title I program. This report provided information on patterns of services provided by the Title I programs and the educational impact of such services, as well as on efforts undertaken by the Department of Education, in coordination with State and local education agencies, to improve the implementation of instructional and evaluative activities across the country.

The Title I report documents important findings in the areas of program objectives and operations, the nature and implementation of compensatory education programs, staffing, types of services provided, student achievement, and the implementation and use of evaluations at the State and local level.

- Nearly 90% of all school districts received Title I funds in the 1979 fiscal year; in the poorest districts, Title I can account for up to 16% of a district's total educational funding.
- During the 1979-80 school year, approximately 5.4 million students were served by Title I in nearly 12% of the nation's public elementary and secondary schools and nearly 4% of the nonpublic schools. Approximately three-quarters of the children served were in grades 1 to 6.

- Of the 200,000 full-time equivalent staff employed in local Title I projects, more were teacher aides (46%) than teachers (39%). The staff taught reading to 4.2 million students, and mathematics to 2.5 million students, and these were the two major services of Title I. Students were served more often in pull-out projects than in any other setting, typically in small groups where the student-to-teacher ratio is 10:1 or less.

- Title I students gain more than similar students who do not receive compensatory education services in grades 1 to 3 in reading and grades 1 to 6 in math. Information gathered over a three-year period shows that in reading, students who have left the Title I program because of high performance do not fall back noticeably after they cease participation in Title I. In mathematics, students who have left the program because of high performance tend to show a decline after participation ceases.

Other Programs and Issues

Most studies underway during 1981 were to be completed subsequent to preparation of this report, and will be discussed in a later volume. However, the Department has completed studies of State governmental responses to the Education Consolidation and Improvement Act of 1981 (ECIA), potential effects of ECIA on efforts to improve education quality in the States, the incidence and severity of problems in implementing multiple categorical programs, the implementation of language assistance programs, and the problems of interagency collaboration in payment of Public Law 94-142 related services.

- An examination of districts that administer multiple Federal or State categorical programs reveals problems of interference and cross subsidy. These problems of interference appear to result from two factors: the Federal program structure, which local districts perceive as encouraging them to treat Federal categorical programs as separate from the schools' regular curriculum; and local administrative habit, which tends to separate Federal categorical from district core programs even more rigorously than Federal rules require. Cross subsidy occurs most often when monies from one program are used to meet the purposes of a separate program.

- The mandated study on Vocational Education by the National Institute of Education examined the distribution of vocational education funds, issues of compliance with applicable laws, means of assessing program quality and effectiveness, and consumer homemaking programs. The study found uneven achievement of mandated goals. For example, current law stimulates States to increase their efforts to serve "special needs" populations, but contains "excess costs" and "matching" requirements that inhibit localities in serving these populations.

- Sex stereotyping, although pervasive, is less severe than ten years ago.

- Provisions for Federally funded consumer and homemaking education encourage (but do not require) improvement and extension; as a result, State responses vary because most States distribute funds by formula as an entitlement.

Postsecondary Education

The Department's postsecondary education programs in fiscal year 1982, as they have since 1972, focused on providing financial assistance to students. Student assistance totaled about $11.8 billion in 1982. It was made available to students and their parents both directly by the Federal Government, and indirectly through State agencies and banking and educational institutions. In addition, about $350 million was also available to institutions for special purposes.

Although eligibility requirements were tightened in 1982 in both the Pell Grant and Guaranteed Student Loan Programs, the thrust of the programs administered by ED remained unchanged: to help students overcome financial barriers to postsecondary education.

For the review of the impact or effectiveness of Federal student aid programs administered by ED, equity in overcoming financial barriers will be considered as achieved if funds (Federal as well as other sources) are distributed so that students and their families with similar financial conditions and educational costs receive essentially the same financial aid treatment.

- Overall, participation rates for all postsecondary education are down for all income levels with the greatest decrease coming in the higher-income groups.
- Low cost of college or availability of student aid appears to be a major factor in the selection of a college for low-income students.

- Costs of education and median family income have grown at essentially the same rates, while Federal assistance programs have increased in size at well over twice the rate of either.
- From 1978 to 1981, family contributions for first-time full-time students as a percent of cost have fallen 5% and student burden (work and loans) has increased 4.4%.
- Students from all income levels have increased their self-help contribution, primarily through increased borrowing in the Guaranteed Student Loan Program.
- Student burden has generally increased for all first-time full-time students at a higher rate than the cost of education and the rise in median family income.
- There has been a reduction in the overall Federal program participation rates for first-time full-time students from 1980 to 1981. Only the Guaranteed Student Loan Program showed an increase.
- Median income of participants in Federal student aid programs increased at a greater rate from 1978 to 1981 than the median income of all students in all Federal programs, except in the Supplemental Educational Opportunity Grants Program and in the College Work Study Program where it remained constant.
- 87.2% of all first-year graduate students, and 83.4% of all continuing graduate students, use loans more than any other source of aid to meet, on the average, over 40% of their educational costs.
- With reduced funding of Social Security student assistance and reduction in Veterans' student assistance programs, programs administered by the Department of Education take on added significance as a source of aid to low-income students.

- The improvement of the student aid delivery and management system becomes even more important with increased diversity and size, and with continuing changes in the rules and regulations of Federal student financial-aid programs, both in terms of management efficiency and the assurance that those most in need will receive assistance.
- Over two-thirds of the institution-based aid is provided by the Institutional Development Program (Title III of the Higher Education Act) and the Special Programs for Disadvantaged Students (under Title IV of the Higher Education Act.)
- Both the Institutional Development Program and the Special Programs for Disadvantaged Students distribute their funds to institutions with large numbers of students who also qualify for Federal student assistance.

Several planning studies were also completed in FY 1982 by the Office of Planning, Budget and Evaluation. One study which was mandated by the Congress assessed the unique educational needs of the Trust Territories of the Pacific. It resulted in a set of suggestions for modification of existing program and administrative procedures. Another study determined the current level of student indebtedness, which provided background information to the development of general guidelines for the Administration's student aid proposals for fiscal year 1983. Finally, a study of the College Housing Program provided information which was used in the new set of regulations issued for the program in fiscal year 1983.

Highlights of Evaluation Results

Evaluations assist Department of Education officials as well as members of the Congress in making informed decisions for improving ED program efficiency, effectiveness, and responsiveness. They attest to program successes and failures, strengths and weaknesses, and thus provide the primary source of objective evidence used in determining future program operation and policy options.

Evaluation results are widely used in the Department of Education for budget preparation for ongoing programs and programs whose operations are changing, for budget hearings, for Congressional testimony, and for Departmental responses to Congressional inquires. They provide background for the preparation of policy papers which affect ED-related legislation as well as for the writing of regulations which clarify how ED programs function. A base of information is provided by evaluation results which aids in decisions regarding the distribution of Federal funds to local areas as well as decisions which improve services to constitutions.

The following section contains highlights of evaluation studies completed in fiscal year 1982. The studies are categorized under the headings of Elementary and Secondary Education, and Postsecondary Education.

Elementary and Secondary Education

* An Evaluation of ESEA Title I -- Program Operations and Educational Effects (A Report to Congress)

In March, 1982, the Department of Education's Office of Planning, Budget and Evaluation provided to the Congress a comprehensive report on the Title I program. This report, which is mandated by section 183(g) of ESEA Title I and is required biennially, provided information in greater detail than was previously available concerning the patterns of services provided in Title I programs and the educational impacts of such services. The report also documents the efforts undertaken by the Department (ED), in coordination with State and local education agencies, to improve the ways in which instructional and evaluative activities are implemented across the country.

The report includes comprehensive information obtained from several sources: information provided to ED by all State educational agencies (based on district evaluation reports) on participation, staffing, instructional treatment and educational impact of the Title I program in the 1979-80 school year; and information obtained through nationally representative studies, including longitudinal studies of compensatory education conducted between 1975 and 1981 and results from the National Assessment of Educational Progress which summarize national trends from 1970-1980.

The report is organized into five chapters, the first of which is a brief "executive summary" describing the major highlights and findings provided in the report. Subsequent chapters provide more detailed information on Title I program objectives and operations; on the nature and implementation of compensatory educational programs; on the educational impacts of such services on student achievement; and on national trends towards improving and using evaluations, as evidenced by case studies of State and local district activities.

The major findings follow:

Program Objectives and Operations

- About 87% of all school districts received Title I funds in the 1979 fiscal year, and about half (7,000) received Concentration grants, 80% of which were awarded for programs in urban areas.
- While approximately 13% of the local education agencies receive no Title I funds, in the poorest districts Title I can account for up to 16% of a district's total educational funding.
- Ten States -- California, New York, Texas, Ohio, Pennsylvania, Illinois, Puerto Rico, Michigan, Florida, and New Jersey -- receive over 50% of the Title I monies available.

The Nature and Implementation of Compensatory Education Programs

Characteristics of Students Served:

- Approximately 5.4 million students were served by Title I projects during the 1979-80 school year.
- Approximately 11.6% of the Nation's elementary and secondary school students in public schools participated in Title I in 1979-80. This varied by State from 4% to 26% of the public school students.
- Approximately 3.7% of nonpublic school students were served by Title I in 1979-80.
- Slightly more than one-half of the Title I participants were White, about one-quarter were Black, about 15% were Hispanic, and the remainder were Asian, Pacific Islander, or American Indian.

Title I Staffing:

- Over 200,000 full-time equivalent staff members were employed on local Title I projects during the regular school term of 1979-80.
- Approximately 39% of the staff members were teachers and 46% were teacher aides. Only 3% of the staff members were classified as administrative staff.

Types of Services Provided:

During the regular term of 1979-80:

- Approximately 4.2 million students (78%) received services in reading; approximately 2.5 million (46%) did in math.

- Large numbers of students also were served in language arts (19%), health and nutrition services (28%), and other instructional areas (19%). Fewer students were served by non-instructional programs, such as programs in attendance, social work, guidance, and psychology (15%); pupil transportation (3%); English to limited-English-speaking students (7%), and other supporting services (8%). Only 9,084 students received special services for the handicapped, and 5,571 received vocational services.

- Students were more likely to be served in pull-out projects than in any other setting. Language arts projects are more likely to be in the regular class than are mathematics and reading projects, but even in language arts less than one-half of the students are served in the regular class.

- Title I students tend to be served in small groups. Approximately 75% - 90% of the elementary school students in grades 2 and 6 are served in settings where the student to teacher ratio is 10:1 or less.

During the summer term of 1979-80:

- Over 300,000 students were served by Title I projects, mostly in reading (66%) and mathematics (63%).

- Over 31,000 full-time-equivalent staff members were employed, the majority of whom were Title I teachers (59%) or teacher aides (25%).

Student Achievement

- The typical Title I reading student was at the 22nd percentile in reading achievement when the program began. This varied by grade from a high of the 28th percentile in grade 2 to a low of the 12th percentile in grade 12. Large variations also were found across the States.

- The typical Title I mathematics student was at approximately the 24th percentile in mathematics achievement at the beginning of the program. This varied by grade from a high of the 35th percentile at grade 2 to a low of the 21st percentile in grade 10. Again, large variation was found across the States.

A comparison of compensatory education students in grades 1 to 6 with a similar group of students who did not receive compensatory education showed that:

- Compensatory education students gain more than similar students who do not receive services in grades 1, 2, and 3 in reading and in grades 1 to 6 in mathematics.

- The positive effects of compensatory education are true particularly for Title I students, though these benefits of compensatory education are not great enough for the participants to "catch up" with non-disadvantaged non-compensatory students.

Information collected over three years showed that:

- In reading, students who have left the Title I program because of high performance do not fall back noticeably after they cease participation in Title I.
- In mathematics, students who have left the program because of high performance tend to show a decline after participation ceases.

A study of the relationships between types of services and the effects of compensatory education showed that:

- The amount of regular instruction and tutor/independent work has positive, but modest, effects on achievement growth.
- The amount of instruction by special teachers, by aides or assistants, or in very small groups (less than 7 students) does not often have detectable effects, and when it does, those effects are negative. In almost all cases, however, these relationships between instructional factors and achievement growth are weak.
- Students taught by more experienced teachers tend to attain greater growth in reading and mathematics achievement. It was consistently found that the teaching experience of the regular staff was positively related to achievement.

Implementing and Using Evaluations at the State and Local Level

- The Title I Evaluation and Reporting System was required to be implemented by States for the first time in the 1979-80 school year. All States submitted Title I participation and achievement information using the new system, so that for the first time comparable data were received from all of the States.
- The Title I Technical Assistance Centers expanded from their early role of providing assistance on the Title I evaluation models and reporting requirements to providing assistance on a wider range of topics related to Title I evaluation that were requested by State and local Title I staff. Areas of assistance included data quality control, evaluation of early childhood education projects, process evaluation, and use of evaluation for program improvement.
- During the 23 months from November 1979 through September 1981, the Technical Assistance Centers provided over 5600 workshops and consultations to nearly 82,000 clients.
- Title I staff in numerous States and districts are utilizing Title I evaluation procedures that go beyond the requirements of the Title I Evaluation and Reporting System. Often, these activities focus on program implementation.

- Many States have successfully implemented extensive quality control procedures for reviewing, editing, and correcting evaluation information submitted by local school districts. Many States have also begun providing descriptive information and information on achievement gains back to participating school districts and are providing districts with information on how their evaluation procedures can be strengthened.

- There is a nationwide focus on identifying and sharing information about exemplary programs.

* Assessment of the Title I Evaluation and Reporting System

In 1974, the amendment of section 151 to Title I of the Elementary and Secondary Education Act ESEA created, for the first time, explicit requirements for Title I program evaluations. During the next four years, a set of evaluation models and an accompanying reporting system were developed under contract to the U.S. Office of Education and an ambitious program of technical assistance for aiding State and local education agencies in implementing new and more complex evaluations was initiated. However, in 1978, during the time of the subsequent legislative review of ESEA, the new Title I Evaluation and Reporting System (TIERS) was not yet fully operational nationally.

The House and Senate committee reports on Title I criticized the Office of Education on these grounds, and requested it to review its implementation of the proposed evaluation procedures. In 1979, with the publication of final evaluation regulations, the Commissioner of Education responded to comments on both technical and procedural grounds by promising, in the preamble to the regulations, to "reconsider, and if necessary, revise the regulations after a three-year period, based on information available at that time."

In response to that promise, and in anticipation of issues in evaluation likely to be raised by State and school district staff when considering how to conduct their under Chapter 1 of the Education Consolidating and Improvement Act, the Department of Education contracted with a panel of five researchers to conduct a thorough assessment of the TIERS and its associated support and technical assistance activities.

Each of the panelists examined a separate aspect of TIERS, and each prepared an individual chapter describing the issues, methods of inquiry, and results of their investigation. Additionally, the panel collaborated on overall summaries, conclusions and recommendations. The highlights of the TIERS Assessment, in five areas, are given below:

Validity of the TIERS evaluation models

- Small biases produced by several factors are cumulative and in the same direction. However, much of this bias can be eliminated by adopting an annual (spring-spring) rather than a within-school-year (fall-spring) testing cycle.

- The TIERS models should not be used to try to identify the achievement gains in Title I projects involving small numbers of students.

Services provided by the Technical Assistance Centers (TACs)

- Since their establishment in 1976, the TACs have gradually shifted from an emphasis on helping clients implement the TIERS models to an emphasis on improving the quality and the utility of information generated in Title I evaluations.

- There is widespread satisfaction among State agencies with the performance of the TACs, and most agencies see a continuing need for TAC services under Chapter 1.

- Through TACs, State agencies and schooldistricts have learned and applied new evaluation approaches and new ways to use evaluation data to improve educational services.

- The services provided by the TACs are expensive when measured in terms of costs per hour of TAC service.

Utility of TIERS information for improving educational practices

- At the school district level, evaluations are used in modifying attitudes, recognizing or identifying problems, prompting administrative or organizational action, and inducing instruc-

- At the state agency level, six contextual variables for evaluation use are identified; the extent to which evaluation data are tailored to the needs and interests of the local community is the most important of these.
  tional change.

- At the school district level, Title I evaluations are used to assist in the recognition of problems requiring programmatic intervention at the local level and in the recommendation of solutions for those problems.

Effects of TIERS on state and local evaluation practices

- Improvements based on TIERS information have been made in Title I project implementation and evaluation practices at state and local levels.

- State and local educators and evaluators are considerably more knowledgeable about issues in estimating educational effectiveness than they were prior to the implementation of TIERS, and this awareness generally includes an understanding of the limits of evaluation, including problems caused by small project size.

- There has been an increase in the number and quality of studies and analyses initiated by large state agencies and school districts as part of their efforts to improve educational programs.

- The Federal emphasis on evaluation does not appear to have encouraged many high quality tests of the costs and benefits of alternative educational approaches.

- In small school districts, changes are attributable to TIERS and its support mechanisms, including the TACs and direct assistance from ED and from Title I units in state agencies. Many large districts need no assistance in implementing TIERS, but do use Federal initiatives for leverage in improving the quality and utility of their evaluations.

Use of TIERS information in meeting Federal needs

- Title I data have been provided to Congress in a form specified by legislation.

- With the issuance of the FY 1981 Annual Evaluation Report and the subsequent transmittal of An Evaluation of ESEA Title I -- Program Operations and Educational Effects to Congress, ED has fulfilled its obligation to report national data on Title I which were generated through the local use of the TIERS.

- TIERS provides data on topics of interest to persons working on Title I issues in Congress and in the executive branch, primarily focusing on the achievement gains in the basic skills of Title I participants.

- Despite the change from Title I to Chapter 1, Congress will continue to need effectiveness data on Federal compensatory education programs.

Several problems and implications for change are also presented in the TIERS Assessment report. ED has implemented some of these recommendations but not others, as explained after each of the following issues (not discussed above):

- TIERS is currently unstable due to recent changes in Federal law, and ED should strongly encourage state agencies and school districts to continue systematic evaluations under Chapter 1.

  (While ED can encourage districts and agencies to continue to use the TIERS, ED cannot require the use of specific evaluation models by them Under Chapter 1.)

- TIERS alone is insufficient for meeting local data needs, and TACs should help schools districts reformat evaluation results to be more useful at the local level. State agencies and school districts should be encouraged to develop new evaluation strategies to meet their own needs.

  (TACs have always been available to assist SEAs and LEAs in designing and implementing evaluation efforts, in addition to the TIERS, which would meet their own local needs. This will continue under Chapter 1.)

- Since the cost of TAC assistance is high relative to the amount of field service provided, ED should consider options for reducing costs while maintaining the current quality of services.

  (The overall cost of the TACs will be reduced substantially under Chapter 1. Cost-effective provision of services to agencies and districts will be encouraged and monitored, and will be implemented through use of field offices and staff throughout the region.

- States vary in evaluation capabilities, and services to SEAs should be varied according to agency needs and interests.

  (Prior to serving any agency the TAC will negotiate a letter of agreement with agency officials, providing for agency guidance and approval of the services and emphases that TACs will provide.)

* Equal Educational Opportunity for Disadvantaged Children

Several studies on equal educational opportunity for disdavantaged children were completed during 1982. Areas of study included State governmental responses to the Education Consolidation and Improvement Act of 1981 (ECIA), potential effects of ECIA on education quality improvement efforts in the States, the incidence and severity of problems in implementing multiple categorical programs, implementation of language assistance programs, and the problems of interagency collaboration in payment for Public Law 94-142 related services.

Highlights of studies include the following:

- Districts which adminster multiple Federal or State categorical programs tend to encounter problems of interference and cross-subsidy. These problems may be the results of two factors: the Federal program structure, which local districts perceive encourages them to treat categorical programs as things apart from the schools' regular curriculum; and local administrative habit, which separates categorical and core programs even more rigorously than Federal rules require.

The radical separation of categorical and core instructional programs could potentially harm disadvantaged students who are supposed to benefit from Federal programs, unless there is coordination between the programs.

- A study of the implementation of assistance programs for language-minority students showed a range of programs offered at the local level and the feeling that local communities--parents, teachers, students, and school administrators--should have a voice in deciding program offerings. However, while few people liked regulations, a surprisingly large number of people felt that some kind of language assistance regulation was necessary in order to assure that services would be provided.

* The NIE Vocational Education Study

The National Institute of Education (NIE) Study of Vocational Education focused primarily on the four studies mandated by Congress. These include: the distribution of vocational funds; issues of compliance with applicable laws; the means for assessing program quality and effectiveness; and consumer and homemaking programs.

The 1976 legislation set forth ambitious Federal goals and detailed prescriptive processes, procedures and programs as a means of achieving the goals. However, the legislation also gives States broad authority and discretion as to the uses of the money authorized.

Findings of the study which was completed in 1981, include:

- Results in achieving the mandated goals are uneven. State and local agencies have their own priorities which may not be congruent with Federal policy.

- While amendments to the vocational legislation have stimulated States to make a greater effort to serve populations of special needs, legislation has created problems in the process. Excess costs and matching requirements inhibit localities in serving these populations and create disincentives to placing these students in regular classes.

- Sex stereotyping is still pervasive, the report indicates. However, it is less severe than in the early 1970's.

- Although State planning has improved, States still prepare plans that are primarily compliance documents. State plans do not significantly influence local program decisions.

- Encouraging change and improvement in the Nation's vocational education enterprise is a legislative goal, but the Vocational Education Act lacks effective provisions for achieving this objective. In fact, only a small proportion of all funds spent at the local level goes to program improvement. Most funds are used to maintain programs.

- Provisions for Federally funded consumer and homemaking education encourage but do not require improvement and extension. Responsiveness is varied because most States distribute funds by formula as an entitlement.

- The evaluations required by legislation stimulated State and local evaluation activities. However, statutory evaluation requirements are not generally useful for improving programs.

Postsecondary Education

* Postsecondary Education in the U.S. Trust Territories of the Pacific

The purpose of this study, which was mandated by Congress, in the Higher Education Amendments of 1980, was to identify the unique educational needs of the Trust Territories. The Secretary of Education was to transmit the findings of the study to Congress, with a set of recommendations as to the most appropriate forms of Federal postsecondary assistance for the territories to meet their identified needs.

Study findings included:

- o There is a need for an increased level of technical assistance.
- o Communications between the continental United States and the Trust Territories must be improved; special attention should be given to using educational technology.
- o Special set-asides or funding priorities need to be established for the territories in existing programs which focus upon their unique needs.

Using the study findings, an ED task group developed a set of suggestions for modification of existing program and administrative procedures. The suggestions were accepted by the Secretary and steps have been taken to implement them for the next funding period. These steps have been reported to Congress.

* Indebtedness to Finance Postsecondary Education

At the heart of this study is a financial model of indebtedness that relates loan repayment to future discretionary income. The measure of loan burden used in this study is the ratio of repayments to discretionary earnings during the repayment period.

The model was applied to 1977 and 1981 graduates on the basis of census data.

- o It was found that most 1977 graduates could pay back about $1,270 per year, assuming a borrowing limit of about $9,000 for 10 years at 7 percent interest or $8,355 at 9 percent for 10 years.
- o 1981 graduates, on the other hand, could afford a payment of about $2,000 per year which would allow for loan amounts of $14,400 at 7 percent or $13,200 at 9 percent.

Individual cases clearly will differ but the study provided general guidelines for policymakers for planning and budgeting. In fact, both these limits are consistent with loan limits for the Guaranteed Student Loan Program and the National Direct Student Loan Program as used in the planning for the FY 1983 budget.

* Planning and Budgeting Models - For the Guaranteed Student Loan Program and Student Financial Aid Needs Analysis

The purpose of this activity is to develop a set of budget projection models that can be used to estimate the program and budget impact of varying program assumptions for:

- o The Guaranteed Student Loan Program: interest and loan default costs
- o The Expected Family Contributions under different levels of taxation and work rules.

Several models were developed in direct response to specific requests by the Department's Budget Service and were used by them during the budget cycle.

Continued development of these models is planned for FY 1983, building upon the identified and expected needs for the 1984 budget cycle.

* A Study of the College Housing Program (Higher Education Panel)

The purpose of this study was to provide staff in the Department's Office of Postsecondary Education with up-to-date information on the condition of college housing. The information was to be used in revising program regulations in part, in response to a report of the U.S. General Accounting Office. Extensive data were collected and provided to the program staff for use in the new set of regulations.

Findings included:

- o Universities were housing more students than facilities were designed to hold (100.9%). However, occupancy rate in four year schools was 95.1%, and 94.7% in two-year schools. In public institutions, the rate was 98.8% as a whole, while for private institutions the rate was 95.5%.
- o No more than .7 of one percent of all housing was considered substandard in public institutions compared with 1.4 percent in private schools.
- o For students in institutions using off-campus housing, 8 percent in the public sector and 2.1 percent in the private sector were living in substandard housing.
- o Primary funding needs, if additional funds were available, include rehabilitation of existing facilities (40.1%), energy conservation (29.0%), and new facilities (21.0%).
- o About half of all institutions have a housing replacement fund with a total value of 1.5% of total replacement cost for all institutions.

* The American Freshman: National Norms for Fall 1981

This study, which has been a continuing activity for ten years, provides ED with detailed information on the status of college freshmen. It is the primary source of impact data used in the Annual Evaluation Report. It has also provided extensive information for planning and budgeting in FY 1983. In particular, data from the study have shown:

- Parents' contributions have been falling over the past several years, in both the percent who contribute and the dollar level.
- Federal student-aid distribution to high-income groups increased dramatically with passage of the Middle Income Student Assistance Act, not only in loans but in grants as well.
- Lower-income families have increased their contributions as a percent of cost in recent years, but they are still less than those of other family income groups.

The study also provides detailed data on students' attitudes and aspirations.

* A Study of Selectivity Criteria for The Institutional Development Program

In support of the regulations development task group, a series of tables of alternative selection criteria were developed. As a result of this work, the program was able to publish its regulations in time for the current funding cycle. A similar study is planned for FY 1984. Of particular concern in both studies is the expected impact of proposed criteria on institutional eligibility. Without this information, the Department would have little idea of whom the program would affect in terms of eligibility. For example, doubling the weights of selection criteria used for the Pell Grant program would increase the number of institutions with large numbers of black students rather dramatically, since these students participate in the Pell Grant program at rates higher than non-black students.

* Federal Support for International Studies: The Role of NDEA Title VI

The purposes of this study were to examine the objectives of the program, to describe program operations, and to assess the likelihood that program activities will result in measurable progress towards program objectives.

Major recommendations from the report include:

Area Studies Program Centers should:

- adopt a more flexible definition of potential grant recipients;
- improve the link between area studies centers and professional schools;
- adopt a broader definition of "outreach" requirements for centers;
- require that on-site reviews be more thorough;

- clarify the criteria for review by awards panels.

Area Studies Fellowships Program should:

- determine trends in employment of former fellowship holders and assess the match between training and employment;
- establish a protected competition for advanced students of the professions and in high-demand disciplines;
- establish sabbatical awards for mid-career graduates to maintain and improve skills.

A number of these findings have already been implemented:

- The fellowship stipend has been increased so as to make it competitive with other forms of student support and more attractive to non-humanities students;
- The program has changed its grant cycle to improve the timeliness of awards;
- Program regulations have been altered to require area studies centers to establish links with professional schools.

Uses of Evaluation Results

During FY 1982, at least $30 million was expected to be obligated for evaluation and planning studies analyzing the Department's programs, policies, and assessing educational needs. These monies are apart from funds allocated directly to research and development activities and to data collection in large national surveys.

At any time, Department resources are scarce relative to alternative needs. With tight fiscal restraint, with vigorous pursuit of policies aimed at lessening the rate of inflation in the economy and lowering the Federal deficit, expenditures of evaluation monies have necessarily come under closer scrutiny than ever before. It is especially important to examine the uses that have been made of the findings of evaluations and policy studies.

Evaluation results, and those of other analytical studies, are used in a number of ways. The audience using the studies is a vital factor: results useful to one group may not be to another. Staff members may infuse study results into their work, without policymakers having direct knowledge of the studies. Opposing viewpoints are argued at on the staff level, but only final arguments may be presented to policymakers. Evaluation results may be used to substantiate program budgets, changes in legislation, preparation of regulations that implement legislation, and proposals for Federal, State, or local initiatives. They may be used to help change existing programs, create new programs, or make decisions that a Federal role no longer exists.

Decisions at the Federal level concerning evaluation needs are the product of lengthy and careful deliberations regarding studies mandated by legislation, program or issue areas that are of national concern and about which critical information is lacking, and forthcoming reauthorization of legislation. This decision process is sometimes cumbersome but necessary, because it involves identifying important information gaps, planning the studies to provide the needed information, competition for conducting the studies, their actual implementation, and dissemination of results. For example, any study that involves extensive data collection must be approved within the Department and by the Office of Management and Budget for assurance that burden on respondents is minimized and that data are not duplicative. Data collection in the field generally takes a full year, including survey pretest. Many studies, when answers of use to policymakers are needed quickly, are conducted on a case-study basis, with careful attention to limitations of study results.

At the State and local levels, interest is focused not on program design, but on program implementation. At these levels, what matters most is actual operation of the program and community acceptability. Thus, at the district level, resource allocation is stressed, whereas at the school level, questions of curriculum are paramount.

Elementary and Secondary Education

The Federal role in elementary and secondary education is basically one of providing equal educational opportunity to disadvantaged children. Evaluation results play a critical role in compensatory education in a number of areas. Data pertinent to Chapter 1 of the Education Consolidation and Improvement Act of 1981, used in support of the FY 1983 budget justification, have included information on the number of public and nonpublic participants, their grade level, service categories (e.g., math, reading), and student achievement. As background to preparation for regulation writing or legislative change, data have been used on needs assessment (student selection), transition services for neglected or delinquent children, and assesssment of sustained gains. Responding to information requests from the Congress and the public is another important example of evaluation use in this area. Within the Department, briefings for officials attending hearings or giving testimony have included information on low-cost exemplary projects, student achievement, student selection, types of serices provided, and school district use of data for program improvement. Results have also been used for capacity building, an example of which is the use of technology at the State and local level for efficient management and for program improvement.

Evaluation data and studies on Title I of the Elementary and Secondary Education Act have been used extensively within the Department by other Federal agencies, by the Congress, at the State and local levels, and by interest groups in education. Within the Department, Title I data have been used to prepare budget justifications, testimony, speeches by Department officials, and to analyze the potential impact of legislative changes. The General Accounting Office used Departmental data in its last two examinations and reports on the

Title I program. Both the Department's Compensatory Education Division and the Congress have used data from the study on neglected and delinquent children participating in Title I. During budget debates, the Congress has made widespread use of Departmental data as evidence of the Title I program's effectiveness.

States and local districts also made use of Title I data. Several States requested that the Department prepare "feedback reports" for them, tabulating their evaluation data and displaying them against relevant national data. As another example, data from the "Sustaining Effects study" suggested that some students in the Title I program should not be in it. Educators responded that the result is due to improper selection methods; as a consequence, many States and districts requested help from the Department in "needs assessment" and "student selection". The Department then developed special training modules for the requesting States and local agencies based on Department evaluation information on Title I. In recent years, there has been an increase in the number and quality of analyses begun by large State agencies and school districts in their efforts to improve educational programs.

Interest groups in education also used Department evaluation information on the Title I program. The National Advisory Council on the Education of Disadvantaged Children used these data in their 1981 publication, Title I Today. A private organization plans to copy and distribute a handbook of parent involvement ideas that was a product of analysis on Title I. Both the National Association of State Coordinators of Title I, and the Committee on Evaluation and Information Systems of the Council of Chief State School Officers, have endorsed the continued implementation of the Federally developed Title I Evaluation and Reporting System under the new legislation for Chapter 1 of the Education Consolidation and Improvement Act.

Compensatory Education and Confined Youth: A Final Report is a legislatively mandated report evaluating the expenditure of Title I program funds for expanding and improving the education of confined youth. The final report focused on six areas: how the program operated in its environment, impact on participants, successful characteristics of basic-skills programs in correctional settings, factors impeding the realization of objectives, experiences of students after release from institutions, and how future evaluations at the institutional and State levels could be most fruitfully conducted. Results of this study were presented by staff of the Office of Planning, Budget and Evaluation at the Region 8 and Region 9 meetings for Title I coordinators of programs in institutions for neglected or delinquent (N&D) youth. The study finding that there has been little evaluation in the area of programs for neglected or delinquent youth led to a decision by the Title I Technical Assistance Centers to prepare a handbook on N&D evaluation.

Evaluations of Indian Education programs were used in the preparation of testimony and to make progam changes. A study of "The Tracking of Higher Education Students Supported under the Indian Education Act" had three main objectives: a description of the need for increased numbers of qualified Indians in the fields of education, law, medicine, engineering, business administration, and natural resources; the tracking of the progress of participants in the Educational Personnel Development Program and the Indian Fellowship Program; and the development of an information retrieval system to maintain data on students in these programs. The study documents the effectiveness of the fellowship program, and was used to support the Department's decision to cut that program less than the overall percentage applied to the Part B program in Indian Education as a whole.

Another evaluation study, "An Impact Study of Parts B and C Programs and Projects Funded under Title IV, P.L. 92-318, The Indian Education Act" found that these programs were successful in increasing community involvement and participation in education, improving the basic skills of the participants, developing and disseminating curriculum and culturally-related materials, and in the improvement of attitudes on the part of participants. This evaluation was used in the budget process in the suballocation and priority use of funds (especially in Part B). Findings were used to support shifting of funds from one subprogram to another.

Program changes in the delivery of education to Indians were based on a study entitled "The Status of Educational Attainment and Performance of Adult American Indians and Alaska Natives," which pointed out the need for adult education and the areas in which such education was needed. The areas cited most often were: reading, writing, health information, knowledge of community resources, law, consumer education and occupational knowledge. The delivery of services under the Part C Program in Indian Education, "Educational Services for Indian Adults", was subsequently focused on meeting these needs.

Vocational and Adult Education

Testimony in support of the Administration's proposal for consolidation in these areas made extensive use of the National Institute of Education report, The Vocational Education Study: The Final Report (September 1981). This study focused on the entire enterprise of vocational education, including the distribution of funds (Federal, State, and local), the means of achieving compliance, means of assessing program quality, and a review and evaluation of the Consumer and Homemaking Education Program. Recommendations in the study report included redirecting Federal support to focus on the role of vocational education in local, State, and national economic development.

3

NIE staff provided testimony on study findings in both the interim and final stages of the study. The Secretary cited the study in his letter of April 1, 1982, transmitting the Administration's proposed Vocational Education bill to the Speaker of the House and to the Vice President. Senator Orrin Hatch cited the study when he introduced his Vocational Education legislation, S. 2325. Study findings have been cited by various witnesses testifying before the House Subcommittee on Elementary, Secondary, and Vocational Education on the reauthorization of the Vocational Education Act of 1963.

A Study entitled "An Assessment of the State Administered Program of the Adult Education Act," (1980), focused on the effect of the 1978 Education Amendments on the State programs. Study findings included information on characteristics of program participants, their motivation or objectives, benefits to participants, the agencies that operate the programs, the program settings, and teachers of adult education. This study was used by the Department in preparing testimony and legislation.

Bilingual Education

Under the 1978 Congressional mandate, studies of a number of key issues in bilingual education, ranging from definition of "limited-English-speaking ability" to teacher-training programs, were begun in the Department. Some of these projects have already been concluded and their findings have been used to address those issues.

A study of "ESEA Title VII-Funded and Other Teacher Training Programs," assessed a sample of both Title VII and non-Title VII training programs, and did a followup study of graduates. The Office of Bilingual Education and Minority Language Affairs used the findings in preparing Department testimony before the Congress, and in response to Congressional inquiry regarding the program. The findings on employment of graduates of the program were used in the Departmental budget justification to support continued emphasis on teacher training in Title VII.

The study on "Bilingual Education Materials Development" was used in the budget justification to eliminate this activity as a separate funding item. The justification was based on the study finding that school districts frequently did not use products of these centers, because they were not appropriate within the context of local needs.

Education of the Handicapped

Legislation on education for all handicapped children (Public Law 94-142) specifically provides in Section 618 for evaluations of State efforts to provide a free appropriate education and requires that the results be reported to the Congress annually. The results of these studies assist the Congress in its oversight responsibilities; provide information to Federal, State, and local agencies to strengthen self-monitoring (compliance) activities; and provide Federal, State, and local policymakers, administrators, and other professionals with information and assistance useful in implementing the law and improving current practice. These individuals use evaluation and study results to review the adequacy of current legislation and regulations; determine the need for new policy; guide the development of new policy directives or clarify existing ones; develop effective actions to improve policies, procedures, or practices that are out of compliance; and develop suggestions for improving the quality of State and local practices and procedures.

Several Department evaluation studies were used as the foundation for a General Accounting Office (GAO) study of evaluations in the area of special education for the handicapped: Disparities Still Exist in Who Gets Special

Education (1981). To determine if any particular handicapping conditions were overrepresented, GAO used national estimates of prevalence rates that were developed in 1971 in a study entitled "Validation of State Counts of Handicapped Children." A report in 1980, Local Implementation of P.L. 94-142: First Year Report of a Longitudinal Study, was used to review over-representation by type of handicapping condition. This topic was further developed in another 1980 study, "A National Survey of Individualized Education Programs (IEPs) for Handicapped Children," which examined the degree to which some children are over-represented by sex. The GAO study emphasized several areas of concern to both the Department and the Congress, some of which, in particular the issue of over-representation, became the subject of testimony during the fiscal year 1983 Congressional budget hearings.

The cost of special education is another prime example of concern to both the Department and the Congress. Ideally, there should be separate cost accounts of regular and special education. However, because special education is usually conducted in concert with regular education, it has been difficult to differentiate between the two costs, and only rough estimates have existed. In 1981, the Department conducted a study entitled "The Cost of Special Education." This study enabled the Department to provide accurate estimates for the first time in the fiscal year 1983 Congressional budget justification.

Evaluations were used in developing Departmental proposals for regulatory changes under Public Law 94-142. The longitudinal study cited above is a five-year study of seventeen local education agencies in nine States to observe progress in implementing Public Law 94-142, and to identify critical issues in implementation. Three annual reports have been produced, describing local implementation in such areas as individualized education programs, "least restrictive environment", and procedural safeguards. These reports have provided information for the Annual Report to the Congress on the Implementation of P.L. 194-142.

The State agency program in education for the handicapped, funded under Chapter 1 of the Education Consolidation and Improvement Act of 1981, provides for the "pass through" of funds from State agencies to local education agencies. A 1979 study entitled "Assessment of Educational Programs in State-Supported and State-Operated Schools" indicated that one of the reasons that this "pass through" provision was not being utilized was the relatively large administrative burden placed on State agencies and local education agencies in providing funding for a small number of children. Development of proposed regulations for the State agency program revealed that local education agencies could qualify for assistance through the applications already provided by the State agencies. Local education agencies' applications were therefore made optional at the discretion of the States. It is hoped that this change in interpretation will make it easier for State agencies and local education agencies to utilize efficiently the "pass through" provision.

The Rehabilitation Services Administration has developed an evaluation capacity for Federal and State vocational rehabilitation programs. Graphic evaluation reports based on the current national evaluation standards are now prepared for each State agency and Regional office, and are useful for viewing the status of components of major formula grant programs and providing a basis for monitoring and management initiatives. Concurrently, new comprehensive evaluation standards have been pretested, prior to national implementation in 1982, in vocational rehabilitation agencies in Pennsylvania, Virginia, Delaware, Oregon, Michigan, and Mississippi.

Civil Rights

During the past two years, civil rights issues have shifted in emphasis from enforcement to support for State "good faith" efforts toward securing the objectives of the civil rights laws. A study entitled the "Evaluation of the Effectiveness of Technical Assistance Providers to Encourage Compliance with Civil Rights Laws" recommended the encouraging of school districts to perform more self-evaluations of civil rights compliance. The Office of Civil Rights has prepared district profiles for all local education agencies included in a 1980 survey. These profiles note wherever data indicate that the district can perform a self-evaluation to determine whether there is a problem and whether means of remedy exist. Another example of implementation of an evaluation recommendation is from a study entitled "Finding the Common Denominator: The Capacity of State Agencies to Assist the HEW Office for Civil Rights," which recommended that partnerships be formed between States and the Office of Vocational and Adult Education to monitor civil rights enforcement.

Educational Research and Improvement

Evaluation results for the National Diffusion Network (NDN) were used to support the 1983 Administration budget request. Studies have shown that the NDN has been successful in helping many school districts to attempt implementation of exemplary education practices, and that there is substantial educator interest in the types of services provided by the program. Key findings from several studies used in developing the fiscal year 1983 budget request are:

- Most adoptions in other districts are similar to the original projects, although with some changes made necessary by local circumstances;

- There appears to be considerable user satisfcation with the adopted practices and with NDN services;
- The majority of teachers in adopting schools report improved levels of student achievement.

Two major evaluations of library programs have been completed since 1980: "A Study of Library Cooperatives, Networks, and Demonstration Projects" (1980), and "An Evaluation of Title I of the Library Services and Construction Act" (1981). The study on library cooperatives found that the program was the major force behind the development of multitype-library cooperation and networking in the country. The program was also credited as the major influence on State legislatures to modify or pass laws promoting statewide networks of library and information services. The study on library services indicated that the program has stimulated extension of services to unserved areas, particularly in rural areas and high-poverty States. At the time of the study, services were available in all but four percent of the counties and six percent of the small towns. These two evaluations were used in preparing budget materials, and in developing a legislative proposal for reauthorizing the Library Services and Construction Act in the fall of 1981,* and to develop materials for testimony before the Office of Management and Budget and the Congress. Two other studies were used in developing materials for testimony before OMB and the Congress: "Funding Mechanisms and Their Effect on Rural Areas: Analysis of Two Federal Programs" (1979), and "Program Consolidation and the State Role in ESEA Title IV" (1980).

*This proposal was not submitted to the Congress, because the Act was reauthorized in the Omnibus Reconciliation Act of 1981.

Postsecondary Education

The evaluation division has built up an analytical capacity to respond to Federal and Congressional inquiries concerning the distribution of student aid and debt burden. This capacity has also been used to support Department policy in presentations to the Office of Management and Budget and before Congressional committees.

The annual survey of college freshmen conducted by the Higher Education Research Institute is the foundation of a data base that is capable of producing information (typically in percentage form) on aid recipients by sex, race, type and control of institution, for twenty forms of individual aid and for combinations of aid (e.g., all kinds of loans and grants). This data set is the only source of time series data on parental contribution to financing postsecondary education. Receipt of multiple aid forms and specific types of aid overlap can be broken out, and have been used within the Department to calculate the cost of changing aid programs to include a merit qualification component as an exploratory analysis. It was used by the Office of Planning, Budget and Evaluation to prepare a paper for the Office of Management and Budget and the White House Domestic Policy staff on student work/loan burden. These data also provided empirical support for the fiscal year 1982 and 1983 budget proposals of shifting toward greater responsibility of parents in the financing of postsecondary education. Evaluation modifications to the analytical models on the Pell Grant Program have been used to analyze the impact of potential revisions to the Family Contribution Schedule for budget purposes, as well as to analyze changes in the formula which are designed to reduce inaccuracies in the award calculation.

An issue of major concern in discussions of financing higher education is the debt burden that students may have when leaving school. "Indebtedness to Finance

Postsecondary Education" (1981), developed and tested a loan indebtedness model showing the relationship between an individual's total undergraduate and graduate loan debt and projected future income, by major occupational categories. The model is used to measure ability to repay debt in terms of required monthly loan payments as a percentage of net discretionary income. This information was used in planning the fiscal year 1983 budget.

A loan model of the Guaranteed Student Loan program was developed for use in estimating the program and budget impact of assumed changes, e.g., interest rate changes. The model was forwarded to the National Commission on Student Financial Assistance for possible further development. The model has been used by the Office of Planning, Budget and Evaluation to project potential loan burdens resulting from changes in statutory provisions of the Guaranteed Student Loan program.

Evaluations have also been used for policy decision-making in institutional support programs. A major program in this category is the Developing Institutions program under Title III of the Higher Education Act. The Postsecondary Education Institutions Financial Indicators Workbook, prepared by the National Association of College and University Business Officers, was funded in part by the Department of Education. It is now being used to measure the financial strength of colleges participating in this program. The Workbook is also being widely adopted by colleges to use in their internal financial monitoring. Special-services support to academically and economically disadvantaged students is found in the TRIO progams. The "Evaluation of the Special Services for Disadvantaged Students Program: 1979-80 Academic Year" (1981) was used as the basis for continued budget support of the Special Services program. Further, results from the first two phases of this evaluation have been used to develop local project performance criteria in response to the Higher Education

Amendments of 1980, which require an assessment of past performance when existing projects reapply for funds.

Studies have also been undertaken on two small but important programs: International Studies, and Postsecondary Education in the U.S. Trust Territories of the Pacific. International studies are funded under the National Defense Educational Act, Title VI. Findings from the study, Federal Support for International Studies: The Role of NDEA Title VI (1981), led to a doubling of fellowship stipends to $5,850, which makes them competitive with stipends in other fields. The timing of the grant cycle has been changed so that awards are made earlier in the year than formerly.

A report mandated by the Higher Education Amendments of 1980 on higher education in the U.S. Trust Territories of the Pacific led to several changes in how the territories may participate in postsecondary opportunities without initiating any new programs. Insular Area Postsecondary Education Study was based on the limited data available and interviews with Federal and territorial officials. The report findings and the Secretary's actions based on them were reported in the July 26, 1982 issue of Higher Education Daily. The new policies include giving funding priority to territory schools seeking grants under the TRIO and Title III programs. The Department will waive three criteria for awarding Title III grants that the territories cannot meet, and will provide technical assistance to make known these new changes. The territories will also be eligible to receive more than the usual limit to offset travel and other extra expenses.

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Education of Disadvantaged Children (Title I, ESEA) (CFDA No. 84.010)

Legislation	Expiration Date:
Title I of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561, Part A "Programs Operated by Local Educational Agencies"	September 30, 1982 1/

Funding History	Year:	Authorization:2/	Appropriation:2/
	1966	$ 1,192,981,206	$ 959,000,000
	1967	1,430,763,947	1,053,410,000
	1968	1,902,136,223	1,191,000,000
	1969	2,184,436,274	1,123,127,000
	1970	2,523,127,905	1,339,050,900
	1971	3,457,407,924	1,500,000,000
	1972	4,138,377,672	1,597,500,000
	1973	4,927,272,941	1,810,000,000
	1974	4,182,509,627	1,719,500,000
	1975 3/	7,954,872,444	3,776,000,000
	1976 (FY77)	4,692,511,963	2,050,000,000
	1977 (FY78)	4,660,666,596	2,285,000,000
	1978 (FY79)	5,075,334,514	2,735,000,000
	1979 (FY80)	5,680,447,238	3,228,382,000
	1980 (FY81)	6,291,969,913	3,215,343,000
	1981 (FY82)	7,047,423,325	3,104,317,000
	1982 (FY83)	3,480,000,000 4/	2,885,969,000
	1983 (FY84)	3,480,000,000	1,942,000,000 5/

1/ Chapter 1 -- "Financial Assistance to Meet Special Educational Needs of Disadvantaged Children"--of the Education Consolidation and Improvement Act of 1981 (ECIA) was implemented on July 1, 1982. Changes that will occur under the new Act are discussed throughout this chapter.

2/ The authorization and appropriation levels reflected in these columns pertain to the entire Title I program, including grants to LEAs (Part A programs), concentration grants, special incentive grants, and State administered (Part B) programs, viz. the Migrant Education Program, the Program for Neglected and Delinquent Children and the program for Handicapped children. The authorizations and appropriations for Part A programs are shown in Table 1. Funding for each Part B program is reported in the respective chapters on those programs.

3/ Commencing in 1976 the program became advance-funded from the prior year's appropriation bill. This resulted in a doubling-up of funding in 1975.

4/ Budget authority established for ESEA Title I, under Section 513(a) of the Omnibus Budget Reconciliation Act of 1981.

5/ President's fiscal year (FY) 1983 Budget request.

Programs Goals and Objectives

Section 101 of Title I of Public Law 89-10, "The Elementary and Secondary Education Act," as amended in 1978 by Public Law 95-561, states:

> In recognition of the specific educational needs of children of low-income families and the impact that concentrations of low-income families have on the ability of local educational agencies to support adequate educational programs, the Congress hereby declares it to be the policy of the United States to provide financial assistance ... to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children.

Section 124, which states the requirements of local district programs, specifies under (a) "Purpose of Program" that a district may use Title I funds only for programs "designed to meet the special educational needs of children ..." and must include in its project evaluation "objective measurements of educational achievement" (subsection (g)). Additional emphasis is given to educational goals and instructional services to meet those goals in Section 124 (f, 2), which prohibits the use of Title I funds for health, social, or nutrition services unless the district has requested help from the State in locating and using other sources of funds for those services and has been unable to find any. Implementing these legislative provisions are regulations requiring the development of educational objectives and instructional strategies to achieve those objectives (Section 201.105, Federal Register, Volume 46, No. 12, January 19, 1981, p. 5173).

Program Operations

The operations of Title I are clearly specified in the law and accompanying regulations, and are described below in terms of eight major activities: (1) the allocation of funds to districts, (2) the identification of eligible schools, (3) the selection of eligible students, (4) the provision of services to them to meet their needs, (5) the documentation that Title I services do not replace those they are already entitled to (from district, State, or other Federal programs), (6) inclusion of important groups such as parents in decision-making, (7) evaluation of the efforts, and (8) guidance and monitoring from the State on the program components described above. Each of these eight major activities is described briefly below in terms of the legislation. In addition, changes to these sections made as a result of the passage of the Education Consolidation and Improvement Act of 1981 (ECIA) are discussed. A discussion of how well State and local education agencies have achieved the objectives of each activity area is provided in the major section "Program Effectiveness and Progress."

1. Funds allocation

There are two types of grants to districts: Basic and Concentration. (A third category of grants, Incentive Grants, were funded from 1971 to 1978, and are included in the funding history. Given that the purpose of this program is to assist local agencies with concentrations of students from poverty backgrounds (see above), the allocation of funds for Basic Grants to districts is based on a formula which incorporates, as one of its elements, counts of children from poor families living within their boundaries. The other element is the State's average per-pupil expenditure (or 80% or 120% of the Nation's average per-pupil expenditure if a State's average falls outside this range).

Specifically, a district is authorized under Section 111 of Title I to receive a grant equal to:

40% times	the number of students aged 5-17 from families in poverty living in the district plus the number of students from local institutions for the neglected or delinquent or in foster homes (Section 111(c))	times	the State's average per-pupil expenditure (or 80% or 120% of the Nation's average per-pupil figure, as noted above) (Section 111(a)(2)(A))

A family is defined as "in poverty" for the purpose of the above counts if its income meets either of two conditions: (1) the income falls below the Census Bureau's criterion for poverty measured by the Orshansky index (Section 111(c)(2)(A)); or (2) the income exceeds that criterion due to the receipt of AFDC payments (Section 111(c)(2)(B)). 6/

It is clear that Census data are crucial to the workings of the formula and the law contains several provisions to overcome problems this poses. For example, in cases where Census data describe a geographical unit other than school districts (usually counties), the grant is computed by the Federal agency for those other units, and the State is responsible for distributing the funds to districts (often called "subcounty allocations") (Section 111(a)(2)(B)). Also, since Census data are collected infrequently, there are provisions for computing district allocations on more recent data if the district's population has changed drastically (Section 111(a)(3)(D)). 7/

The formula and provisions for collecting the various possible data are used to determine the size of the grant a district is entitled to receive. When appropriations for the Title I program as a whole are insufficient to fund all the grants as computed, the Part B State-administered migrant, neglected/delinquent, and handicapped programs are funded (prior to 1980 they were fully-funded; since 1980 they have received specific appropriations), certain set-asides are computed, and the remainder is distributed through

---

6/ Section 111(c)(1)(B) provides, however, that grants for FY 1979 could count only 2/3 of those children whose families met this second condition, making the formula for grants that year the same as before the Education Amendments of 1978.

7/ An additional funding complication requires that 1/2 the funds in excess of the national FY 79 appropriation be distributed to States and districts on the basis of the number of children in families below 50% of the national median income for a family of four (according to the 1975 Survey of Income and Education). The remaining half of the excess over the FY 1979 level is distributed according to the formula described above.

Part A Basic Grants (in proportion to each district's entitlement). Section 193(a) provides, however, that no district shall receive, due to this "ratable reduction," a grant which is less than 85% of the one it received the previous year.

Section 117 provides for a second type of grant, the Concentration Grant. The purpose of such a grant is "to provide more effective programs of instruction, especially in the basic skills of reading, writing, and mathematics, to meet the special educational needs of educationally deprived children" in districts whose counties have especially high concentrations of children from families in poverty (Section 117(a)). To qualify, a district's county must have 5,000 or more students counted for the purpose of determining the size of its Basic Grant (Section 111(c)) or have 20% or more of its students be those so counted. The amount to which a county is entitled is the same proportion of the national total appropriated for Concentration Grants that year, as the area's Basic Grant is to the national total of Basic Grants; however, the allocation may be adjusted to account for the actual proportion of children in poverty (Section 117(b)(5)). The Concentration Grant is viewed as a supplement to the Basic Grant, to be used as described in the district's project application approved by the State. Under ECIA, Concentration Grants will be funded from a set-aside from the total appropriation, rather than as a separate authorization.

A third type of grant to districts is the Incentive Grant authorized in Section 116 of Title I. A district's eligibility for an Incentive Grant depends on whether its State has a compensatory education program which: (1) serves only educationally deprived children; (2) has performance objectives related to educational achievement and evaluates projects acccording to them; (3) provides supplementary services to meet special educational needs of participants; (4) keeps and makes available necessary records; (5) is closely monitored; and (6) distributes at least 50% of its funds within a district to schools serving high concentrations of students from poor families (Section 116(a)(2)). Incentive Grants have remained unfunded since 1978.

To summarize, a district's Basic Title I grant (and its Concentration Grant if that subprogram has been funded that year) is based on its numbers of students from families in poverty and the per-pupil expenditures for its State. The law also contains several provisions for updating the counts or adjusting for drastic shifts in population (Section 111(a)(3)(D)).

Under Chapter 1 of ECIA, the same basic provisions for funds allocation as in ESEA, Title I are maintained. However, Section 514(a) of the Omnibus Budget Reconciliation Act of 1981 limits the funding levels of State-administered Part B programs to 14.6 percent of the total Chapter 1 appropriation. Section 514(a) also stipulates that the amount appropriated for Concentration Grants shall bear the same ratio that the 1980 appropriation for Concentration Grants bore to the total appropriation for all Title I programs.

2. Identification of eligible schools

Once a district receives its Title I allocation it must rank its attendance areas on the basis of the concentrations of children, aged 5 to 17, in those areas who are from low-income families. In making this determination, a district can use any or all of a number of measures (census counts, AFDC, free lunch, housing, health, etc.) if approved by the State.

There are several alternative ways to do these rankings. One can simply order the areas, or use variations: apply the 25 percent rule, meaning that any school with 25% or more of its students from poverty backgrounds can be designated a Title I school as long as certain funding constraints are met (Section 122(a)(1)); use eligibility by actual enrollment (Section 122(b)); serve previously eligible attendance areas (Section 122(c)); serve lower ranked areas having a greater incidence of educational deprivation (Section 122(a)(2)(A), 122(d)); or skip higher ranked schools offering similar services funded from non-Federal sources (Section 122(e)).

Department of Education surveys found that about 68% of the Nation's public elementary schools have Title I programs (Hoepfner et al., 1977); the data used most often to determine eligibility of attendance areas was the number of children receiving free or reduced-price lunch (73% of the districts), second was use of AFDC counts (57% of the districts), and third (42% of the districts) was census data on family income (Hemenway et al., 1978).

Chapter 1 of the Education Consolidation and Improvement Act revises these procedures. School districts will be eligible to receive funds if they provide assurances in their grant applications to the State agency that projects are conducted in "attendance areas ... having the highest concentrations of low-income children or are located in all attendance areas of an agency which has a uniformly high concentration of such children (Section 556(b)(1)(A) and (B)), or are designed to utilize part of available funds for services which promise to provide significant help for all such children served by an agency (Section 556(b)(1)(C)).

3. Selection of students to participate in Title I

An assessment must be made of the special educational needs of children residing in eligible attendance areas (called a needs assessment) to: (1) identify the educationally deprived children, (2) identify the general instructional areas for the program to focus on, and (3) diagnose the specific needs of children (Section 124(b)).

Once the eligible attendance areas and general instructional areas of emphasis have been identified, the district must select students to participate who show the greatest need for those services (Section 123(a)). In general this means serving the educationally neediest students, but there are also provisions for continuation of services to educationally deprived children no longer in greatest need (Section 123(b)); continuation of services to educationally deprived children transferred to ineligible areas in the same school year (Section 123(c)); skipping children in greatest need who are receiving services of the same nature and scope from non-Federal sources (Section 123(d)); and serving all students (in a schoolwide project) if the school has 75% or more of its students from families in poverty and contributes funds from its own sources to the special compensatory program (Section 133).

As noted above, ECIA maintains the importance of serving educationally needy children, but permits rather than requires that only the neediest children be selected for services (Section 556(b)(2)). ECIA also allows for programs which will in part serve all low-income, educationally deprived children in a district (Section 556(b)(1)(C)).

An annual assessment of educational needs which identifies educationally deprived children, permits selection of those with the greatest needs, and determines the needs of participating children is also required (Section 556(b)(2)).

4. Provision of services to meet special educational needs of participating students

Title I services are primarily instructional in nature. Health, social, or nutritional services can be provided if the district has requested State help in finding other ways to support them but has been unable to locate such other sources of funding (Section 124(f)(2)). The services must be of sufficient size, scope and quality to show promise of remediating student needs (Section 124(d)), be coordinated with services from other sources (Section 124(f)), show consideration for sustaining student gains (Section 124(k)), and whenever possible, be guided by a plan developed for each student (Section 129). Services must be available to students in public and non-public schools of the attendance areas identified as eligible (Section 130).

The requirements of sufficient size, scope and quality, evaluations examining sustained gains, and availability of services for non-public school students are maintained in ECIA (Sections 556(b)(3)-(5)).

5. Documentation by the district that Title I services do not replace those to which students are already entitled

The presence of Title I funds in a district should not diminish the services available to students from other sources of funds. Specifically, the amount of resources devoted to education in the local agency must equal or exceed those expended the year before ("maintenance of effort" (Section 126(a))). If for some unforeseen reason this cannot be the case, the district can get a waiver from the requirement, but only for one year.

Furthermore, Title I funds can be used only for services which exceed the average per-pupil expenditure in a district (excess costs (Section 126(b))). Similarly, services supported by State and local funds in Title I schools cannot differ from the amount supported on the average in non-Title I schools by more than 5% ("comparability of services" (Section 126(e))).

For educationally deprived students, the Title I services must be extra to those provided from non-Federal sources ("supplement, not supplant" (Section 126(c))). In some special instances, costs and services for State and local compensatory programs--or for programs being phased in to restructure education in a district to meet needs of educationally deprived students--may be excluded from the various computations (Sections 126(d) and 131). Sites offering school-wide projects need not comply with all the fiscal requirements as long as certain other conditions are met (Section 133(c)(2)(A)).

Provisions regarding supplement, not supplant, maintenance of effort and comparability of services are provided in ECIA, but in general grant districts and States greater flexibility in applying these provisions (Section 558).

6. Inclusion of important groups in decision-making

The Title I law specifies requirements for local and State activities as noted above but also requires that teachers and school boards be included in the planning and evaluation of the effort (Section 124(i)). Similarly, parents of participating children must be informed of the program's goals and their children's progress as well as make recommendations and assist in helping their children (Section 124(j)). Parent involvement is required in a formal sense, also, in the establishment and operation of Parent Advisory Councils. Each district, as well as each school having one or more FTE Title I staff and more than forty Title I participants, is required to have such a Council with a majority of the elected members being parents of Title I participants (Section 125).

The Education Consolidation and Improvement Act requires parental participation in the design and implementation of projects, but a district will no longer be required to have Parent Advisory Councils. Districts may, at their own discretion, continue to sponsor such Councils (Section 556(b)(3)).

7. Evaluation of the effectiveness of the services

Districts must evaluate the effectiveness of their programs in meeting the special educational needs of participating students according to a schedule approved by the Department which ensures that each year the State's evaluation report is representative of efforts in the State (Sections 124(g) and 183(b)). These required evaluations must include "objective measures of educational achievement" (Section 124(g)(2)), be structured according to one of three evaluation models or an approved alternative (Section 183(d) and 45 CFR Sections 116a.170 - 116a.177), and include a measure of sustained achievement over longer than twelve months (Section 124(g)(2)).

ECIA requires districts to evaluate projects "in terms of their effectiveness in achieving the goals set for them, and that such evaluations shall include objective measurements of educational achievement in the basic skills and a determination of whether improved performance is sustained..." The use of specific evaluation models is no longer required (Section 556(b)(4)).

8. Administration of Title I by State agencies

Several requirements of local districts in their design and conduct of Title I are described above. The responsibility for ensuring that districts comply with the law and regulations falls on State educational agencies. Specifically, the law provides for State approval of district applications, rule-making, technical assistance, monitoring, withholding of funds, program audits, and audit resolutions (Sections 164-170 of Title I). To perform these duties, a State is authorized by Section 194 to use up to 1.5% of the total grants received by districts and agencies in the State (or $225,000, whichever is more).

The Education Consolidation and Improvement Act will enact substantial changes in the nature of the State role and responsibilities for overseeing compensatory education programs. State agencies "shall" approve local applications if the program assurances described earlier are provided. States must keep records and provide information to the Secretary as needed for fiscal accountability and program evaluation. However, the role of States in monitoring and enforcing local programs is greatly reduced (Section 596(a)), and the State administrative set-aside will be reduced to a maximum of 1% of the total grants received, with a minimum payment of $225,000 per year (Section 554(d)).

The remainder of this chapter describes the "Program Scope" and "Program Effectiveness and Progress." In the former, brief descriptions of overall funding and program participation estimates are provided. The latter of the two sections summarizes available information on the characteristics of districts, schools, and students participating, as well as descriptions of the nature and effects of that participation.

Program Scope

Title I funds continue to represent about 3% of the total national expenditure for public elementary and secondary education. Table 1 depicts the funding of Part A, Regular grants to local districts over the 13-year period from 1970-1982. Shown are the authorized level, the actual appropriations, and those appropriations adjusted for inflation with 1970 as the base year. Appropriations increased 98%; however, "constant dollar" appropriations decreased about 25%.

Table 1

Annual Funds for ESEA Title I, Part A Basic Grants
(millions of dollars)

Year	Authorized Level	Actual Appropriations	"Adjusted" Appropriations
1970	$ 2,418	$ 1,219	$ 1,219
1971	3,335	1,340	1,274
1972	3,997	1,407	1,292
1973	4,750	1,536	1,355
1974	3,993	1,446	1,172
1975	6,106	3,212	2,341
1976	4,151	1,721	1,172
1977	4,085	1,926	1,239
1978	4,293	2,356	1,420
1979	5,075	2,630	1,389
1980	5,680	2,633	1,237
1981	6,292	2,513	955
1982	3,480 8/	2,413	917

8/ Total budget authority for Title I. There is no specific authority set for Part A Basic grants to LEAs.

Funding for the two other types of Part A grants, Concentration Grants and Incentive Grants, has been smaller. Table 2 shows those figures.

Table 2

Funds for Part A, Special Grants
(in millions of dollars)

Budget Year	Concentration Grants	Incentive Grants
1979 (FY 1980)	$ 147	$ 0
1980 (FY 1981)	98	0
1981 (FY 1982)	99	0
1982 (FY 1983)	0	0

Currently all 50 States, the District of Columbia, Puerto Rico, and all outlying territories (e.g., American Samoa, Guam, Trust Territories of the Pacific, the Virgin Islands, and the Northern Marianas) and the Bureau of Indian Affairs receive Title I funds. 9/ About 87% of all school districts received Title I funds for the 1979 fiscal year, and about half (7,000) received Concentration Grants, 80% of which are in urban areas.

The size of Title I grants varies considerably. Most (62%) are between $10,000 and $100,000, but 25% of them are $100,000 or more (accounting for 84% of the funds). Over 5 million students, or about 11.6% of the elementary and secondary students in public schools, are provided services with Title I funds. The percentage of students served varied across the States from 4% to 26%. Nearly 200,000 students, or less than 4% of the enrollment in non-public schools, were served by Title I during academic year 1979-80 (State performance reports, FY 1980).

Program Effectiveness and Progress

In the re-authorization of Title I in 1977-78, members of Congress inquired about many aspects of the program, including effectiveness of the funds allocation procedure, school selection, student selection procedures for targeting services to educationally needy students in impoverished neighborhoods, the degree to which those services supplement other educational

---

9/ For school year 1981-82, all Insular Areas except the Trust Territories applied for consolidated grants. In these cases, while Title I funds are included in the consolidated grants, each territory can select, from a limited list, which program requirements to follow when submitting their consolidated grant application. Title I has not been selected by any consolidated grant applicant.

activities of the participating students, the effectiveness of the services in improving student performance in the basic skills, the extent of parent involvement, and the ways in which State personnel administer the program. Information on each of these areas is given in detail in An Evaluation of ESEA Title I--Program Operations and Educational Effects (hereafter referred to as the "1982 Title I Report to Congress") and will only be summarized here.

This section is organized to discuss each of the eight aspects of Title I described under "Program Operations" above--funds allocation, school selection, student selection, provision of services, documentation that Federal funds do not replace those normally provided by local and State funds, evaluation of project effectiveness, incorporation of parents and others in decision-making, and State administration. As a ninth and major topic, the effectiveness of Title I services in improving student performance in the basic skills is discussed.

1. Use of the formula in allocating funds to school districts

As noted earlier, the purpose of Title I is to provide funds for extra services to educationally disadvantaged students in districts with areas of high poverty. The formula uses estimates of the amount of poverty in the area (counts of children from poor families) and average educational expenditures to determine the size of district grants.

One rough way to assess the adequacy of the formula for allocating funds to districts in poor areas is to note the correspondence between the numbers of children counted as being from impoverished backgrounds and the amount of funds received. The Department of Education's 1980 Annual Evaluation Report described the relationship between the numbers of formula-eligible children and per-pupil expenditures. It was shown that the South, with 45.5% of the formula-eligible children, received 39.9% of the allocated Title I funds. In contrast, the Northeast received 22.9% of the allocated Title I funds although having only 18.8% of the Nation's formula-eligible children. The reason for this difference is primarily due to differential regional costs of education. Most Northeastern States received over $200 (in FY 1977) for each formula-eligible child as a result of high State per-pupil-expenditures in these States. In contrast, over one half of the States in the South received the minimum sum of $163 (80% of the national average per formula-eligible child as a result of their lower funding in education.

The correspondence between numbers of students from poor backgrounds and receipt of funds is high. The National Institute of Education (NIE) found, specifically, that: (1) as the number of formula-eligible children in a county increases, the average Title I allocation to the county rises consistently, and (2) district allocations reveal patterns similar to those observed at the county level (NIE, Survey of Compensatory Education, 1977).

2. The result of district practices in selecting eligible schools

Two surveys have found that districts have Title I programs in 90-95% of their eligible schools (NIE, 1976; Wang et al., 1978). Of just over 62,500 public schools having any of grades 1-6 in 1976-77, about 68% received

Title I funds (27% only Title I plus 41% Title I and some other compensatory program funds); 14% received only other compensatory funds, 18% received none (Hoepfner, et al., 1977). Title I programs are offered more often in schools with larger proportions of their students from families in poverty. As the proportion of students from poverty backgrounds increases in a school, so too does the likelihood that it will be a Title I school. (The 1981 Annual Evaluation Report contains additional information on this topic.)

As noted in the "Program Operations" section, it is possible for schools to be declared "Title I eligible" if they have large proportions of educationally deprived children (but not necessarily large enough proportions of economically disadvantaged students to rank high in the district's ordering of schools according to the poverty of their attendance areas). It is interesting to note the correspondence between economic and educational deprivation of attendance areas; the correlation between the number of educationally disadvantaged students in a school and the number of economically disadvantaged ones is .67. The correlation between those two numbers for schools within the same district is even higher -- .91 (Breglio et al., 1978). Most schools (91%) having greater than half of their students from poor homes and greater than half performing at least one year below grade level offer Title I programs (97% offer Title I or some other compensatory program). The 3% of these schools which do not have any compensatory program (Title I or something else) are most often located in urban settings.

Chapter 1 of the Education Consolidation and Improvement Act contains revised procedures for identifying eligible attendance areas. School districts will be eligible to receive funds if they provide assurances in their grant applications to the State agency that projects are conducted in "attendance areas ... having the highest concentrations of low-income children or are located in all attendance areas of an agency which has a uniformly high concentration of such children" (Section 556(b)(1)(A) and (B)) or are designed to utilize part of available funds for services which promise to provide significant help for all such children served by an agency (Section 556(b)(1)(C)).

3. Student selection for services

An assessment must be made of the special educational needs of children residing in eligible attendance areas (called a needs assessment) to: (1) identify the educationally deprived children, (2) identify the general instructional areas for the program to focus on, and (3) diagnose the specific needs of children (Section 124(b)).

Once the eligible attendance areas and general instructional areas of emphasis have been identified, the district must select as participants those students who show the greatest need for those services (Section 123(a)).

It is difficult to assess how adequately local procedures achieve the intent of the regulations due to differing definitions of educational deprivation, greatest need, etc. Analyses of targeting of services on students found that 75% of the schools in the "Sustaining Effects Study" (which formed a representative sample of the Nation's schools serving grades one through six) had more than half of their Title I students falling at or below the

35th percentile on the nationally standardized reading test used in the study (Kenoyer and Cooper, 1980). (The 35th percentile represents a level of performance below which most teachers judge students to need compensatory services.)

Another way to assess the adequacy of selection procedures is to assess the degree to which, for each school, the low-achievers tend to be in Title I and the higher achievers not. This can be examined by a correlation between student achievement ranks on standardized reading tests and whether or not each is in Title I. These correlations are almost all positive in reading, but not strongly so. The average correlation across schools was .37 in reading and .24 in math (Kenoyer and Cooper, 1980).

It is also possible to depict student participation in Title I separately for each quartile of the achievement distribution. The figures for grades one through six according to the "Sustaining Effects Study" are shown in Table 3 (Breglio, et al., 1978).

It is important in reading Table 3 to note that the percentage figures add to 100% by row (except for rounding errors): that is,.for example, 32% of the Nation's students in the bottom quartile are in Title I; 14% of the students in that quartile receive services only from other compensatory programs; 42% are in schools with compensatory programs but receive no services 10/; and 11% are in schools which have no compensatory programs.

Difficulties in targeting services on the neediest is evident in this table since 457,000 (16% of the students in Title I) placed in the upper half of the distribution (left column, 3rd and 4th rows). Possible explanations include problems with tests and teacher or parent preferences for certain students to be in Title I.

Additional information is available from the TIERS. The results of the achievement testing provide an estimate of the standing of Title I students through the weighted mean pretest scores submitted by States. This information is provided in Table 4 for reading and mathematics students tested on an annual testing schedule (either fall-to-fall or spring-to-spring), and Table 5 contains the same information for students tested fall-to-spring. Considerable variation was found among States on the pretest standing of the Title I students (for those with both pretest and posttest scores for a given subject area) as well as between the pretest standing of those tested annually versus fall-to-spring. The posttest standing of reading and mathematics students tends to be similar for students tested on a fall-to-spring schedule and for those tested on an annual schedule.

10/ Of particular interest is the 42% figure, showing that many students scoring poorly on standardized instruments do not receive services even when they attend schools that offer compensatory education programs. A combination of factors has been suggested: poor selection procedures, funding levels too low to serve all needy children, and in some cases, the lack of Title I programs at certain grade levels.

Difficulties in targeting services on the neediest are evident in this table since 457,000 (16% of the students in Title I) placed in the upper half of the distribution (left column, 3rd and 4th rows). Possible explanations include problems with tests and teacher or parent preferences for certain students to be in Title I.

Additional information is available from the Title I Evaluation and Reporting System (TIERS). The results of the achievement testing provide an estimate of the standing of Title I students through the weighted mean pretest scores submitted by States. This information is provided in Table 4 for reading and mathematics students tested on an annual testing schedule (either fall-to-fall or spring -to-spring), and Table 5 contains the same information for students tested fall-to-spring. Considerable variation was found among States on the pretest standing of the Title I students (for those with both pretest and posttest scores for a given subject area) as well as between the pretest standing of those tested annually versus fall-to-spring. The posttest standing of reading and mathematics students tends to be similar for students tested on a fall-to-spring schedule and for those tested on an annual schedule.

For reading, across all States, students tested on an annual schedule averaged at the 22nd percentile in the elementary grades. Some States reported pretest figures much higher or lower than this, however. At grade two, the lowest percentile was 9 and the highest was 50. (In the extreme, a rough estimate shows that in one State about half of the students fell below the 9th percentile, while in another State about half fell below the 50th percentile, based on students with both pretest and posttest scores.)

For mathematics, the students tested annually showed national percentile standings ranging from a high of the 35th percentile at grade two to a low of the 21st percentile in grade ten. Considerable variation was found among the scores reported by States, with percentiles at grade four varying from a low of the 8th percentile to a high of the 49th percentile.

Other aspects involved in "targeting" involve the numbers of students with different characteristics being served by the program (as a consequence, presumably, of the selection procedures emphasizing educational need). Data on the sex, age and language groupings of participants in Title I are shown in Table 6 (as reported in the "1982 Title I Report to Congress" and dating from FY 1977; as found in the "Sustaining Effects Study").

In addition, on the TIERS forms, States were asked to record the number of Title I students during the regular term of 1979-80 according to five ethnic groups: American Indian or Alaskan Native, Asian or Pacific Islander, Black not Hispanic, Hispanic, and White not Hispanic. Each student was to be counted in only one group. Nine State Education Agencies did not report ethnic group information, and other States used estimates or had incomplete information. Table 7 presents the ethnic group characteristics of Title I students for the reporting SEAs and for all SEAs using estimates for the missing data.

Table 4

1979-80 Title I Pretest Standing for Students Tested on an Annual Testing Cycle (in percentiles)

Grade	Reading			Mathematics		
	Minimum 11/	Average 12/	Maximum 13/	Minimum	Average	Maximum
2	9	28	50	12	35	48
3	6	23	41	9	31	50
4	11	23	39	9	28	49
5	9	22	40	8	26	49
6	9	22	39	9	24	43
7	7	22	43	8	23	39
8	10	22	40	9	23	44
9	9	20	37	9	23	46
10	7	17	39	9	21	52
11	6	14	24	7	24	49
12	5	12	28	8	22	51

Table 5

1979-80 Title I Pretest Standing for Students Tested on a Fall-to-Spring Testing Cycle (in percentiles)

Grade	Reading			Mathematics		
	Minimum	Average	Maximum	Minimum	Average	Maximum
2	6	19	35	5	19	30
3	5	16	28	3	19	28
4	5	16	27	6	18	28
5	6	17	31	5	18	28
6	6	16	26	5	17	37
7	6	15	27	3	17	26
8	5	15	26	4	16	28
9	7	14	22	8	16	22
10	6	15	28	11	19	32
11	3	12	21	7	22	28
12	4	13	23	18	21	31

11/ The minimum is the lowest reported pretest score of all SEAs with at least 100 students tested.

12/ The average is the percentile equivalent of the weighted average NCE score of all reporting SEAs.

13/ The maximum is the highest reported pretest score of all SEAs with at least 100 students tested.

Table 6

Characteristics of Title I Participants in Grades 1 - 6
(Sustaining Effects Study)

Race	Number	(%)
White, not Hispanic	1,762,000	(61)
Black, not Hispanic	740,000	(26)
Hispanic	328,000	(11)
Other	58,000	(2)
Language		
English spoken at home	2,470,000	(34)
Spanish spoken at home	353,000	(12)
Other language spoken at home	113,000	(4)
Age		
5-6 years	354,000	(12)
7	506,000	(17)
8	519,000	(18)
9	503,000	(17)
10	510,000	(17)
11	418,000	(14)
12	128,000	(4)
Sex		
Female	1,094,000	(44)
Male	1,412,000	(56)

The missing data were estimated by use of 1970 Bureau of Census population estimates to proportion the Title I students into ethnic categories. This procedure will probably overestimate the number of white not-Hispanic Title I participants.

Based on available information, it is estimated that slightly over one-half of Title I participants during the regular term of 1979-80 were white not-Hispanics, slightly more than one-quarter were Black not-Hispanic, between one-seventh and one-sixth were Hispanic, and less than 5% were Asian, Pacific Islander, or American Indian.

The TIERS ethnic group data were provided by several States that did not have actual counts available and thus had to estimate. Other estimates of these counts come from NIE, 1977, and are based on a 1976 sample: White (54%), Black (34.5%), Hispanic (10%), and other (1.5%).

Table 7

Ethnic Characteristics of Title I Participants During the Regular School Term in 1979-80

	Number	(%)
All Reporting SEAs 14/ (TIERS)		
White, Not Hispanic	2,490,000	(51)
Black, Not Hispanic	1,399,044	(29)
Hispanic	768,542	(16)
Asian or Pacific Islander	98,207	(2)
American Indian or Alaskan Native	93,785	(2)
All SEAs 15/ (TIERS)		
White, Not Hispanic	2,947,006	(55)
Black, Not Hispanic	1,466,833	(27)
Hispanic	774,529	(14)
Asian, Pacific Islander, or American Indian	192,577	(4)
Sustaining Effects Study		
White, Not Hispanic	1,762,000	(61)
Black, Not Hispanic	740,000	(26)
Hispanic	328,000	(11)
Other	58,000	(2)

4. Services to Title I students

After major district-wide areas of need are identified through the annual needs assessment, students are then selected to participate in Title I. Services are provided to them preferably according to a specific plan constructed for each student (Title I, Section 129).

The following subsection addresses three ways of describing the nature of services provided to Title I participants: (a) per-pupil expenditures, (b) types of services provided, and (c) measures of the intensity of services in reading and mathematics.

14/ Nine SEAs did not report ethnic breakdowns.

15/ State population data were used to estimate missing information.

(a) per-pupil expenditures

Although estimates of per-pupil expenditures are difficult to collect from districts, and where available are subsequently difficult to interpret (due to different accounting methods, etc.), it is possible to obtain rough indicators of Title I efforts by this method. A survey in 100 Title I districts estimated the Title I per-pupil expenditures to be $347 in 1975-76 (NIE, 1976). An estimate for the following year from the "Sustaining Effects Study" was $415, compared to $371 per-pupil from special district or State compensatory education programs (Hemenway et al., 1978). Based on 1979-80 TIERS information, an expenditure estimate of $450 - $500 per Title I child does not seem unreasonable.

(b) types of services

NIE estimated that the proportion of Title I funds spent for instructional services in 1975-76 was 75%; a somewhat comparable estimate for the following year is 81% (Hemenway et al., 1978). This in part may be due to a renewed emphasis in Title I on basic skills instruction.

Table 8 displays the data provided by each State via the Title I Evaluation and Reporting System (Form 686-2) for the 1980-81 school year. SEAs reported the number of Title I participants during the regular term by type of service and public, nonpublic, and local neglected or delinquent designation. A student was counted once for each instructional area in which he or she received services and once for each category of supporting services that he or she received.

All respondents except the Bureau of Indian Affairs (BIA) reported the number of students served by service area. Based on the 54 SEAs which reported this information, 3,830,850 (72%) of the Title I participants received services in reading. The second most common area for services was mathematics (2,217,690 students, or 42%). The three next most common areas, attendance and guidance (22%), health and nutrition (21%), and language arts (16%), together served fewer students than were served by reading. The fewest students were served by programs in vocational education (only 7 SEAs reported programs in this area) and special activities for the handicapped (14 SEAs reported programs).

(c) the nature and intensity of reading and math services

It was noted above that it is difficult to analyze costs or services in education using per-pupil expenditures. In two national studies of Title I, an analysis method was used which involves estimating the amount and type of educational resources (teacher training and time of instruction, type of materials, etc.) to which students are exposed. Then, the method applies to each resource an estimate of its average (or "standard") cost. Hence, for each Title I student or group of students, one can record the "inputs," or resources used, multiply each by its estimated standard cost, and sum across resources. This yields an estimate of per-pupil costs attributable to the particular educational activity rather than to local salary and expense schedules. Comparisons across sites and various analytical efforts (relating costs to degrees of effectiveness for example) thereby become more meaningful. (See especially Haggart, 1978, for more discussion of this technique.)

Table 8

Students and Services in Title I, School Year 1980-81
(from the Title I Evaluation and Reporting System)

Service Area 16/	Type of Participant						Total 17/	
	Public		Nonpublic		Local N or D			
	Number	(%)	Number	(%)	Number	(%)	Number	(%)
Instructional								
Reading	3,614,157	(72)	171,039	(80)	44,968	(86)	3,830,850	(72)
Mathematics	2,102,881	(42)	82,977	(39)	31,014	(59)	2,217,690	(42)
Language arts	780,880	(16)	36,943	(17)	14,294	(27)	832,079	(16)
Limited English	433,763	(9)	12,853	(6)	1,233	(2)	447,369	(8)
Other	280,491	(6)	7,707	(4)	8,047	(7)	296,250	(6)
Special for Handicapped	15,598	(--)	8	(--)	10	(--)	15,616	(--)
Vocational	5,702	(--)	42	(--)	821	(--)	6,565	(--)
Support Services								
Attendance, etc.	1,152,264	(23)	13,954	(7)	18,318	(35)	1,184,536	(22)
Health, nutrition	1,100,570	(22)	11,530	(5)	1,307	(3)	1,113,407	(21)
Other	543,410	(11)	10,032	(5)	2,087	(4)	555,568	(10)
Transportation	304,068	(6)	3,416	(2)	137	(--)	307,621	(6)
Total Number Served	5,033,139	18/	213,380		52,261		5,298,780	

16/ Instructional areas include reading, mathematics, language arts, English for limited-English speaking students, vocational, and other (including natural sciences, social sciences and social studies, business, health, safety, driver and physical education, and industrial arts). Supporting areas include health and nutrition; attendance, social work, guidance, and psychology; pupil transportation, and other.

17/ Some States counted Neglected or Delinquent Program pupils twice (the N or D pupils are included in Public and Nonpublic as well as the N or D column); others listed only totals with no Public, Nonpublic, and N or D breakdowns. Therefore, the Total column is not the sum of the other three columns.

18/ This number is an estimate obtained by subtracting all local Neglected or Delinquent Program participants from the total number of Public participants. Since some local Neglected or Delinquent Program participants may be in Nonpublic institutions, the number underestimates the number of Public participants not in Neglected or Delinquent programs. For the same reason, the number of Nonpublic participants is an overestimate. The percentages given in the table represent percentages of the total number of children served in the respective column.

It is possible, through this method, to note the costs of programs received by Title I students in contrast to those received by their peers. Results of these analyses were presented in detail in the 1980 Annual Evaluation Report, and will not be repeated here. In summary, the resource costs estimated include those due to teaching personnel, support (clerical aides and other auxiliary personnel), and equipment and materials. There was a clear difference between the amounts of resources comprising reading and math programs for Title I and noncompensatory students. For both reading and mathematics, the Title I students are offered substantially more services or resources than are offered to their non-compensatory peers. The amount and the patterns of supplementary service allocations vary somewhat across grades, with the resources devoted to compensatory reading greatly increasing as the grade level increases (although the total amount of resources devoted to reading declines, and the amount of resources devoted to non-compensatory reading declines dramatically). The level of regular mathematics resources allocated remains fairly constant across the grade levels, while the amount of compensatory mathematics resources increases slightly.

To repeat some of the observations noted above, and in an attempt to describe what accounts for the majority of the differences in costs between services received by Title I and non-compensatory students, it should be noted that:

- especially in grades three through six, Title I students receive more hours of services in reading than their non-compensatory peers
- Title I students in all of grades one through six receive more math
- Title I services are more often in smaller groups, and/or
- those services are more often offered by a subject area specialist.

These figures about specific measures of services in reading and math are taken from a study in public schools (Hemenway et al., 1978). There is little comparable information to describe services to non-public students. In a sample of 214 Title I districts in 1977-78, 98 or 46% were providing services to non-public students; most of those services (in 89 of the 98 districts) were provided in the non-public school itself; and most of them (in 92 of the sites) offered the services during normal school hours (Hemenway et al., 1978).

5. Documentation that Title I services do not replace those to which students are already entitled

Title I has four fiscal requirements to ensure that Title I students get their "fair share" of services from their districts: (a) comparability of services (district and State-funded services in each Title I school must be comparable to the average provided in a district's non-Title I schools); (b) maintenance of effort (local and State funding in a district cannot decrease from one year to the next); (c) excess costs (Title I funds can be used only for costs of Title I projects which exceed the district's per-pupil expenditure); and (d) Title I funds must supplement, not supplant, other funds for services to Title I students.

(a) Comparability

As a result of concerns that comparability requirements were burdensome and overly rigid, and that they unintentionally detracted from the effectiveness of Title I services, the Education Amendments of 1978 authorized (in P.L. 95-561, Section 102) a study in which a limited number of districts were to formulate and use alternative comparability criteria, which would provide greater flexibility without compromising the purpose of the comparability provision. A report on the study, "Utilization and Effects of Alternative Measures of Comparability," was delivered to Congress in October 1981.

Forty-four districts participated in the study, with 34 being granted waivers to implement alternatives and 10 reporting under existing provisions. The districts were selected from a sample of approximately 500 school districts in 23 States. The study found that 65% of the school districts reported no problems with comparability, and over 50 percent reported spending less than 10 staff days per school year on comparability. While 75% of the 44 districts perceived comparability requirements to conflict with State or local resource allocation policies, only one district was able to provide an example of how it was prevented from carrying out local policies for allocating staff, programs, and sevices because of comparability requirements. Further, the alternatives were shown to have little uniform impact on administrative burden. For example, some changes could eliminate tasks many districts consider to be burdensome but increase burden for others.

While these study findings have been made somewhat moot by the passage of ECIA, they can serve as valuable evidence in later debates on the merits of the new provision as opposed to merits of the provision as of 1978-80. The intent of the comparability requirements has been maintained in the new Act (i.e., to equalize resources in Title I and non-Title I schools). Under the new Act, however, a district can satisfy the comparability requirements by filing a written assurance with the SEA that a districtwide salary schedule will be established; that a policy to ensure equivalence among schools in teachers, administrators and auxiliary personnel will be developed; and, that a policy to ensure equivalence among schools in the provision of curriculum materials and instructional supplies will be developed. Unpredictable events occurring after the beginning of a school year, such as enrollment or staffing changes, and the expenditure of State or local funds to meet the educational needs of educationally deprived children, will not be considered as factors in determining compliance (ECIA Sections 558(c) and (d)).

(b) Maintenance of Effort

As noted earlier, the maintenance of effort requirement is intended to insure that an SEA or LEA does not lower its level of expenditures in a fiscal year (or years) so that Federal funds constitute a greater proportion of its total expenditures. This determination is made by comparing expenditures on an aggregate or per-pupil basis for the two fiscal years preceding the year in which funds are sought. If an SEA or LEA fails to maintain its level of effort, it risks losing its Title I funds. (An allowance is made for exceptional circumstances which lead to a decline in the financial resources of an SEA or LEA, but waivers are granted for one year only, and agencies receiving waivers may not take that year into account when computing the fiscal effort in subsequent years).

There are three main sources of information on maintenance of effort: waiver applications, audit reports, and a study completed by the Rand Corporation in October 1980 entitled "Maintenance of Effort Provisions: An Instrument of Federalism in Education" (Gurwitz and Darling-Hammond, 1980). In the period from October 1, 1978 to September 30, 1979, four waiver requests were received. Waivers were granted to three districts that had presented special levy propositions to the voters which were defeated twice within a 12-month period. In the single district where the request was denied, the district elected to maintain a large cash reserve in anticipation of future levy failures and therefore had sufficient resources to meet the maintenance of effort requirement. There were no HEW Audit Agency reports with a finding that a local district failed to maintain effort during that particular period.

The Rand study involved visits to ten States. The highlights of their report include the findings that local districts out of compliance with the maintenance of effort requirement typically are poor, spend little in education, have a large proportion of minority students, and are "Federally reliant." Many are also small. Only 28 LEAs fell out of compliance with the maintenance of effort provisions between fiscal years 1977 to 1980, and of these, 25 were granted waivers by the U.S. Office of Education. Finally, the rules for maintenance of effort did not distinguish between "unwillingness and inability" to maintain spending levels. The Rand researchers predicted, however, an increasing problem in meeting maintenance of effort provisions due to the effects of inflation and the declining tax bases (sometimes the result of tax-limitation initiative, such as "Proposition 13" in California and "Proposition 2 1/2" in Massachusetts) in many districts, particularly in the Northeast and North Central regions. Rand estimated that over 100 districts would be out of compliance by fiscal year 1981.

The picture painted by Rand may be offset somewhat by revisions in the Education Consolidation and Improvement Act. While continuing the intent of the maintenance of effort provisions, the requirement for maintenance is decreased from 100 percent of the previous fiscal year to only 90 percent.

(c) Excess costs

The excess costs provision of Title I was designed to require districts to use Title I funds only for the "excess costs of programs and projects." Excess costs are defined as those which exceed the average per pupil expenditure of LEAs. In the final regulations for Title I, published January 19, 1981 in the Federal Register, the proposed regulations on excess costs were relegated to the status of guidelines. ECIA does not include the excess costs provision, though the requirement is still maintained as a special case of the supplement, not supplant provision.

(d) Supplement, not supplant

The intent of Section 126(c) of Title I was to have LEAs use funds received under this title to "supplement and, to the extent possible, increase the level of funds that would, in the absence of Federal funds, be made available ... for the education of pupils..." Guidance for implementing the supplement, not supplant provision was published in the final regulations, but as guidelines rather than as rules. In ECIA, the general intent of the supplement, not supplant provision is maintained. Additional flexibility has been added by allowing LEAs to exclude, for purposes of determining compliance, State and local funds spent for special programs to meet the educational needs of educationally deprived children, if those programs are consistent with Chapter 1 (Section 558(b) and (d)).

6. Inclusion of important parties in decision-making about Title I

As noted above, ESEA requires that teachers in Title I schools, school boards, and parents be involved in the planning and evaluation of local Title I projects (Section 124(i) and (j)). The extent of such involvement is difficult to assess because "planning" can mean many different types of activities, and "involvement" is also subject to many interpretations.

When asked about planning activities in conjunction with the NIE Study in 1976-77, 84% of the Title I districts described a process beginning around April (on the average) of the preceding year, and mentioned the importance of district planning meetings. The topic most often covered at such meetings was needs assessment; least often was in-service training. Participation at such meetings is depicted in Table 9.

Table 9

Attendance at Title I District Planning Meetings

Attended Planning Meeting	% of Title I Districts
Compensatory education teachers	76
Other compensatory education staff	68
Non-compensatory teachers	62
Principals/Assistant principals	94
District staff	81
Parents	74

(from NIE, 1978, page 116)

A second goal of such involvement is to keep interested persons and groups informed about Title I. Districts have a variety of ways to accomplish this, and their relative effectiveness is difficult to assess. A survey of administrators in 213 districts in 1976-77 found districts using different numbers and combinations of eight major information dissemination strategies, as shown in Table 10.

Parent involvement is required in a formal sense, also, by the establishment and operation of Parent Advisory Councils (PACs). Each district, as well as each school having one or more FTE Title I staff and more than 40 Title I students, is required to have such a council, with a majority of the elected members being parents of Title I participants (Section 125).

Table 10

Frequencies of District Title I Communication Procedures

Question: During this school year how many times did your district use the following procedures to keep such persons informed about the district Title I programs?

	Average
District-wide meetings of all concerned persons	2.5
Meetings of principals of Title I schools	3.8
Meetings of teachers of Title I schools	4.0
Meetings of District Title I Parent Advisory Council	3.9
Meetings of School Title I Parent Advisory Councils	3.8
Presentations of Title I information to the Board of Education	2.3
Presentations in district publications not specifically devoted to Title I	2.4
Stories in local news media	3.0

(from Hinckley (ed.), 1979, page 247)

Parent activity information is available from the 1981 State evaluation reports, and is presented in Table 11. Table 12 provides more detail about types of planning and training activities available to PACs.

Table 11

Parent Activity Information from 1980-81 State Reports

	Number
A. Advisory Councils	
1. Elected members of school advisory council who:	
a. were parents of Title I public schools students	288,082
b. were parents of Title I non-public school students	25,504
c. received training related to council activities	207,216
2. LEAs that provided funds for advisory council activities	5,193
B. Parent Activities	
1. Parents of Title I students who:	
a. participated in project planning, implementation or evaluation	352,484
b. worked as volunteers in Title I classrooms	119,342
c. worked as volunteers outside of Title I classrooms	122,905
2. Parents (not of Title I students) who participated in above three activities	190,729

Table 12

Parent Advisory Council Planning Activities and Training

	Percent of Districts
Type of involvement in planning the district's Title I program:	
Regularly scheduled meetings	78
Briefings by Title I staff	68
PAC meetings with Title I staff to plan the program	47
Mailed information on plans	34
PAC not involved in planning the program	4
No district Title I PAC	1
Training topics provided to the PAC by the district:	
Needs assessment, program planning, evaluation	86
How Title I works at national, State and local levels	82
Budget preparation	53
How to get people to work together	40
Parliamentary procedures	26
No training provided	8
No district Title I PAC	1

(from Hinckley (ed.), 1979, page 247).

A Study of Parent Involvement in Four Federal Programs (including Title I) was completed in 1982. The "Parent Involvement Study" was conducted in a representative sample of districts during the 1978-79 school year to provide national data on the extent of parental participation in governance and instructional areas and on the coordination of parental involvement. In general, the study's findings indicated that few advisory councils were actively involved with decision-making about a school's Title I activities. Those that were involved, however, usually made meaningful contributions to the design and implementation of Title I projects. Almost all projects had established district advisory councils, with the majority of members being parents of Title I students.

Parent involvement in instruction occurred when parents participated as paid aides, instructional volunteers, and tutors of their own children. It was reported that student attitudes, and occasionally student achievement, were improved when their parents were involved in the school program.

Title I contains the requirement that parents of participating children be permitted to participate in the establishment of programs and "are informed of, and permitted to make recommendations with respect to, the instructional goals of the program and the progress of their children in such programs," and that parents are "afforded opportunities to assist their children in achieving such goals." The only related requirement in Chapter 1 of ECIA states that programs "be designed and implemented in consultation with parents and teachers" (Section 556(b)(3)).

In addition to information about the training of parents and Parent Advisory Council members, the 1981 State Title I reports contain descriptive information regarding training opportunities afforded to staff members. This information is summarized in Table 13.

Table 13

Title I-Funded Staff Training
(Numbers of staff receiving training)

Job Classification	Title I Staff	Non-Title I Staff
Administrative Staff	7,138	11,909
Teachers	72,936	89,696
Teacher Aides	88,410	14,292
Curriculum Specialists	5,929	2,459
Other (e.g. Tutors, Community Aides, accounting personnel)	10,469	9,555

7. Local evaluations of the effectiveness of Title I services

While evaluation and reporting have been requirements of ESEA, Title I since the inception of the law in 1965, early attempts to synthesize and consolidate information about the program, based on State evaluation reports, proved impossible. Not only did the quality and thoroughness of the evaluation reports vary tremendously, but the types of information presented ranged from complete participation and effectiveness data down to the presentation of only a few case studies and testimonials. Detailed information on local evaluations of the effectiveness of Title I is presented in the 1982 Title I Report to Congress.

Frustrated by the perennial lack of nationwide information available through the State reports, Congress used the Education Amendments of 1974 to rework completely the evaluation requirements of local and State Education Agencies. Specifically, Congress added requirements that the U.S. Office of Education (now the Education Department) publish standards and uniform criteria for evaluation, develop models that can provide comparable information on the effectiveness of projects, provide technical assistance to State and local school personnel to assist them in performing their evaluations and report periodically to Congress (ESEA, Title I, Section 183).

In 1976 the Office of Education began the long process of implementing a new set of evaluation models, supported by the newly initiated Technical Assistance Centers (TACs). Even though the new evaluation requirements were not published in the Federal Register until October 12, 1979, as early as school year 1976-77 about twenty States implemented the new models on a pilot basis. In school year 1977-78, virtually every State had identified school districts willing to try out one of the proposed evaluation models, and several States were already using the new system statewide. School year 1978-79 saw most States not only fully implementing the Title I Evaluation and Reporting System (TIERS), but working with ED and the TACs to improve generally their procedures for selecting, administering, scoring, and analyzing tests, to perform district needs assessment, and to select appropriate children for participation in compensatory educational programs.

After five years of developmental work and consultation with States and locals, the Department published regulations requiring uniform collection and reporting of information about Title I in the following areas: (1) student participation; (2) parent activities; (3) staffing and training; (4) summer projects, and (5) student improvement in the basic skills. (Federal Register, October 12, 1979 as amended in the Federal Register, January 19, 1981). The evaluation regulations incorporated the requirements mandated by the 1974 amendments, as well as the new evaluation scheduling provision added to Title I by the Education Amendments of 1978. This latter provision requires local agencies to perform the required evaluation activities at least once in three years, according to a schedule established by their State and approved by ED. (This latter approval ensures that data reported to the Department each year are representative of each State as stated in Section 183(b).) About half the States have pursued such a sampling approach, allowing their districts to do the required evaluations less often than annually. The others still require an annual evaluation.

The system of ten regional evaluation Technical Assistance Centers (TACs) is crucial for helping States and locals conduct their evaluations. The results of a 1978-79 NCES (Goor, 1979) survey of districts about their technical assistance requirements and what types of assistance they might request from the TACs also offered a glimpse into the evaluation practices in Title I districts. At that time, 62% of the Title I districts said they would need help from the TACs when regulations made the implementation of a recommended evaluation model mandatory.

When asked about topics with which they would like assistance, the districts answered as shown in Table 14. This tabulation shows the five evaluation areas thought at the time to be of greatest importance in districts. Other topics were mentioned by fewer than 25% of the districts. In fact, States and local school districts have proved to be avid consumers of TAC services. In school year 1979-80 (the first year for which the new evaluation regulations applied), the TACs stressed training activities that would lead to improved methods for selecting participants and for conducting needs assessments, and evaluation procedures that could be used to identify program strengths and weaknesses. In addition, the TACs continued to assist districts in evaluation model implementation, interpretation, and quality control procedures.

During the 23 month period from November 1, 1980 through September 30, 1981, the TACs provided nearly 5700 workshops and consultations, all at the request of State and local personnel. In addition, States and districts were provided services through telephone consultations, through correspondence, through participation in regional meetings and through the development and provision of stand-alone training materials. Greater detail on the TAC effort was published in the 1982 Title I Report to Congress.

Table 14

Projections for Technical Assistance in Title I Evaluation

Topic	# Title I Districts	(%)
Evaluation for continuing program improvement	4,703	(34)
Role of Parent Advisory Councils in evaluation	4,538	(33)
Preparation of evaluation reports	3,953	(29)
Selection of evaluative measures other than tests	3,892	(28)
Implementation of normal-curve-equivalent (NCE) scores	3,718	(27)

(from Goor, 1979)

As discussed, nationwide implementation of the TIERS occurred during the 1979-80 school year. By the summer of 1981, all States had submitted their Title I participation and evaluation reports, allowing the required report to Congress to be based upon complete national data. (In previous years, no more than 40, and frequently fewer, States provided comparable annual information on Title I program services and evaluations to ED.) In addition to fulfilling their reporting requirements, many States have successfully implemented extensive "quality control" procedures for reviewing, editing and correcting evaluation information submitted by local school districts. Many States have also begun providing information back to participating school districts on their comparative status to similar districts in terms of descriptive information and achievement gains, and are also providing districts with information on how their evaluation procedures can be strengthened.

A focus on identifying and sharing information about exemplary programs has emerged nationwide. Often with the help of the TACs, States are coordinating activities with ED's Office of Compensatory Education to identify and then assist school districts with unusually effective educational programs to prepare and present submissions to the Joint Dissemination Review Panel (JDRP). Projects validated as exemplary by the JDRP are described annually in the ED publication Educational Programs that Work, are often used as educational models by other projects in similar academic areas, and become eligible for funding as developer/demonstrator projects from the National Diffusion Network.

In the fall of 1981, ED contracted for an assessment of the Title I Evaluation and Reporting System (TIERS) and its associated program of technical assistance. The final report was completed in April of 1982 (Reisner et al., 1982). The main accomplishments of the TIERS were:

- Title I data have been provided to Congress in a form specified by legislation.
- Improvements based on TIERS information have been made in Title I project implementation and evaluation practices at state and local levels.

- Through Technical Assistance Centers (TACs), State education agencies (SEAs) and local education agencies (LEAs) have learned new evaluation approaches and new ways to use evaluation data to improve educational services.

Problems in the current system and implications for change included:

- TIERS is currently unstable due to changes in Federal law.
- Current estimates of project impact overstate achievement gains, and LEAs should shift from fall-to-spring testing to annual testing cycles.
- TIERS alone is insufficient for meeting local data needs. TACs should help LEAs reformat evaluation results to be more useful locally, and SEAs and LEAs should be encouraged to develop new evaluation strategies to meet their own needs.

8. State Administrative Activities In Title I

As described earlier, State agencies are responsible for approving LEA applications, providing technical assistance to the LEAs, and monitoring local programs. (The LEAs bear the major responsibility for designing, implementing, and evaluating their programs.) Each LEA provides to its SEA, in its three-year application for a Title I grant, information describing its plans to comply with Title I regulations, guidelines, and program criteria. Similarly, States are required to submit a "Monitoring and Enforcement Plan" describing activities to ensure that such compliance exists.

An NIE study (1976) of State administration found that States varied widely in how they administered Title I. For example, some States had no general information mailings to Title I districts, while others reported as many as 30; the number of conferences held to provide assistance ranged from 0 to 500; and the number of individual visits to Title I districts ranged from 0 to over 1,000. The enormous diversity was attributed to two factors: (1) a lack of clarity in the Federal legal framework about precisely what States are supposed to do, with many States confused about their exact responsibilities and authorities in the areas of rulemaking, disseminating information, providing technical assistance, and monitoring and enforcing compliance, and (2) substantial variations among States in the number of staff they have available to administer the program.

The NIE study noted the importance of State staffing, finding that those States identified as having administrations of poor quality had lower staffing levels than would be expected given the size of their set-asides, the proportion of the population that was urban, the number of Title I districts, and their organizational characteristics. A study of selected cases showed that: (1) the greater the efforts a State made to clarify, record, and disseminate regulations, the less likely its districts were to experience compliance problems, and (2) the degree of personal interaction and amount of time spent between State Title I officials and local district personnel appeared to be strongly related to the general quality of local district administration.

Given these findings, the 1978 Amendments to Title I of the Elementary and Secondary Education Act of 1965 were written by the Congress to provide greater clarity in the law, and the set-aside for State administration was increased. A study is underway currently to describe the effects of these changes on State practices and to identify particularly effective State procedures and documents. The results of this study will be available in the summer of 1982.

In 1981, budget rescissions reduced the State administrative set-aside from 1 1/2 % (established in the 1978 Education Amendments) back to the 1% level established prior to 1978. While the effects of this reduction are not yet fully known (although some States have reduced staffing levels), the State management practices study will provide some information. The role of States in managing Title I will be substantially revised when the Education Consolidation and Improvement Act takes effect on July 1, 1982.

9. The effects of Title I participation on student performance in the basic skills

The preceding parts of this section on "Program Effectiveness and Progress" have described the process of providing services funded by Title I to meet students' special educational needs. Emphasized throughout have been indicators of the degree to which actual practices meet the intent of the law in terms of the students being served, the nature of the services, the persons involved in assessing the appropriateness of the services, and the probable effects of legislative revisions. While the effects of various legislative and regulatory provisions on how local administrators conduct Title I projects are important, of equal importance to members of Congress, program administrators, educators, and parents nationwide is the ultimate question of whether or not all this effort helps the students to achieve better academically.

Evidence about the effectiveness of Title I services comes from two sources, reports from States based on local evaluation data and focused Federal studies of specific effectiveness issues, and is more fully discussed in the "1982 Title I Report to Congress."

Two earlier national studies have been the "Compensatory Reading Study," based on data collected during the 1972-73 school year in a nationally representative sample of schools (Trismen et al., 1975) and the 1976-77 "Study of Instructional Dimensions" in sites selected to illustrate a variety of instructional approaches (NIE, 1977). Both concluded that Title I services are leading to student improvement in reading and math which, although modest on the average, provides evidence of the promise of compensatory education. The highlights of the findings of these studies are discussed in the 1980 Annual Evaluation Report.

The "Sustaining Effects Study" is a major, five-year study of the Elementary and Secondary Education Act (P.L. 95-561) Title I programs that is nearing completion. Authorized by Section 183 of Title I (which requires the Department to conduct independent evaluations "which describe and measure the impact of programs ... assisted under this title"), the "Sustaining

Effects Study" was designed to document the following: (1) the characteristics of districts, schools and students participating in Title I; (2) the nature of Title I services provided to program participants; and (3) an analysis of the effectiveness of those services over several years of program participation.

The "Sustaining Effects Study" represents the most comprehensive effort to date in attempting to document and analyze the nature and effects of compensatory education programs. Data were collected on all students in a nationally representative sample of over 200 elementary schools during the three-year period from the fall of 1975 through the spring of 1978. Not only were data collected on student, teacher and principal characteristics, student progress in the basic skills, and in attitude toward school, but interviews were also conducted with parents of a representative sub-sample of 15,000 students.

Information on the nature of compensatory services and on the effects of services on student achievement over one year is now available. During 1982, the Education Department will make available results of the study of student academic achievement over three years, assessing various patterns of participation in compensatory education programs.

The major findings to date of the "Sustaining Effects Study" include the following:

- Of all Title I program participants (approximately 5 million children, spanning 68% of the nation's schools), about 82% receive reading instruction and 34% receive math. The level of instructional resources devoted to Title I participants is about 1.5 times greater than for similar non-compensatory students. More than half the schools in the survey provided Title I services to students in private schools, and with a comparable per-pupil expenditure.

- Compared to similarly needy but non-compensatory education students in economically deprived areas, the Title I students learned more in reading for grades one through three (though not for grades four through six) in mathematics, the Title I students significantly surpassed the non-Title I students in each grade from one through six.

- While an earlier study suggested that Title I students who did not attend summer school in selected sites showed considerable losses (Pelavin and David, 1977), the "Sustaining Effects Study" results show that on the average losses tend not to occur over the summer for compensatory students. Additional evidence (Hoepfner, 1979) shows that all students tend to grow somewhat over the summer months in their reading skills (though not in mathematics) but that this growth is much less than that which takes place during the regular school year and is at a slower rate than that of average achieving students. Limited evidence indicates that low achieving students who receive summer school instruction in reading appear not to catch up with their more advantaged peers (Hoepfner, 1979) as a result of this participation.

- The factors found to be related to increased student achievement growth during the first year of the study include: greater amounts of regular and tutored instruction, greater teacher experience, lack of disruptions to instruction, frequent feedback on progress and greater teacher effort in planning and evaluation. However, there are not many strong relationships between the size of the improvement and these other factors (Wang, 1980).

- Of those who receive Title I in any one year, about 40% will not be in the program the following year; most (60% of those discontinued 19/) of these students "graduate out" due to high achievement. This standard for selection is supported by the achievement data--the average percentile for those continuing in Title I is 22, while the average percentile of those "graduated out" is 34.

Recent reports from the "Sustaining Effects Study" (Zagorski et al, 1982; Kenoyer et al., 1981) discuss growth over a three-year period for students receiving different types and numbers of years of Title I services, as well as the pattern of student performance after Title I services end for them. Figure 1 presents achievement information for four groups of students:

- Regular students who did not need and did not participate in Title I.

- Title I participants in Year 1 who 'graduated out' of Title I in Year 2 and stayed out.

- Title I participants in Years 1 and 2 who 'graduated out' of Title I in Year 3.

- Title I participants who participated in the program for all three years.

The dotted line segments in Figure 1 indicate Title I participation across time. An examination of these lines shows that:

- In reading, Title I graduates do not generally fall back noticeably after participation ceases.

- In mathematics, there generally is a decline after participation ceases.

Three-year participants do not show improvement over the three years, which is to be expected--had they showed substantial improvement they would have been graduated out of the program. This does indicate, however, that some students will not show gains even after three years of compensatory education.

19/ This figure pertains only to students who remained in the same district for the two years spanned by this analysis.

In summary, it appears that Title I has some sustained benefits for program participants, particularly in reading, but some students particularly in math, regress when Title I support is removed. (Growth in practical skills was found not to benefit from participation in compensatory education programs, and the relationships between attitudes and participation are unclear.)

As mentioned previously, 1979-80 was the first school year in which all States and local school districts participated in the implementation of the Title I Evaluation and Reporting System (TIERS), the system of models and reporting forms designed to yield aggregatable, nationwide information about Title I participation and effects. ED received reports from all the State agencies and reported the results in detail in the 1982 Report to Congress. A summary of the results is presented here.

Tables 15 and 16 present the results of evaluations of reading and mathematics achievement gains conducted over a full-year period (spring-to-spring or fall-to-fall testing) and those collected using an academic year (fall-to-spring) testing cycle.

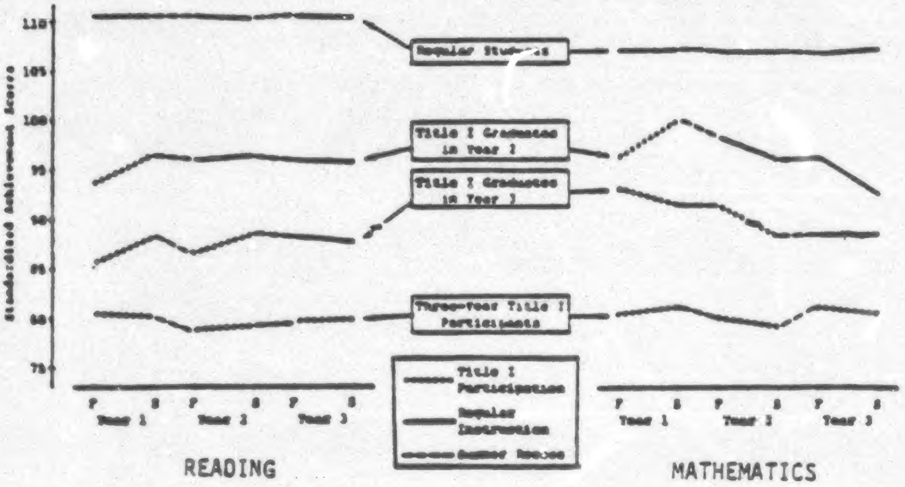


Figure 1. Effects of "graduation" from Title I on student achievement.

Table 15

Reading Achievement for Title I Students
(from the Title I Evaluation and Reporting System,
1979-80, 50 States and the District of Columbia)

Annu[illegible] Testing Cycle (Spring-to-Spring or Fall-to-Fall)

Grade	Weignted Number Tested	Mean Normal Curve Equivalent 20/			Percentile		Percent 21/ Additional Growth
		Pretest	Posttest	Gain	Pretest	Posttest	
2	85,019	37.6	38.6	1.0	28	29	4%
3	108,708	34.3	36.7	2.4	23	26	17%
4	108,576	34.7	36.6	1.9	23	26	20%
5	112,387	33.9	36.2	2.3	22	27	32%
6	107,706	33.9	37.2	3.3	22	27	42%
7	66,923	33.9	35.8	1.8	22	25	27%
8	58,026	33.6	35.8	2.2	22	25	31%
9	30,082	32.0	33.8	1.8	20	22	38%
10	14,215	30.2	29.5	-0.7	17	17	-16%
11	8,579	27.5	25.3	-2.2	14	12	-43%
12	7,146	25.4	26.8	1.4	12	14	33%

Fall-to Spring Testing Cycle

Grade	Weignted Number Tested	Pretest	Posttest	Gain	Pretest	Posttest	Percent Additional Growth
2	310,555	30.8	40.2	9.4	18	32	77%
3	293,909	28.7	36.1	7.4	16	26	90%
4	270,826	28.7	35.6	7.0	16	25	111%
5	246,159	29.4	35.5	6.1	16	25	132%
6	212,819	29.7	35.7	6.0	17	25	158%
7	152,417	28.8	34.3	5.5	16	23	124%
8	122,013	29.0	34.0	5.0	16	22	113%
9	66,475	28.3	33.5	5.2	15	22	163%
10	36,102	28.6	32.8	4.2	16	21	131%
11	17,734	27.3	30.5	3.2	14	18	123%
12	8,383	25.6	30.0	4.4	12	17	133%

20/ The Normal Curve Equivalent, or NCE, is the metric used for national aggregation. It has a national mean of 50, and a standard deviation of 21. The percentiles reported here were obtained directly from the mean NCEs and rounded off.

21/ The percent additional growth measure represents the academic growth made by compensatory education students above and beyond that made by similarly needy students not in compensatory educational programs.

Table 16

Mathematics Achievement for Title I Students (from the Title I Evaluation and Reporting System, 1979-80, 50 States and the District of Columbia)

Annual Testing Cycle (Spring-to-Spring or Fall-to-Fall

Grade	Weighted Number Tested	Mean Normal Curve Equivalents			Percentile		Percent Additional Growth
		Pretest	Posttest	Gain	Pretest	Posttest	
2	50,084	41.9	43.0	1.1	35	37	5%
3	65,407	39.7	40.1	0.4	31	32	0.2%
4	70,637	37.5	39.2	1.8	28	30	15%
5	71,038	36.6	39.0	2.5	26	30	23%
6	69,002	35.4	39.3	3.9	24	31	44%
7	36,268	34.5	36.7	2.2	23	26	29%
8	29,530	34.3	37.1	2.8	23	27	44%
9	15,971	34.6	35.1	0.5	23	24	10%
10	7,718	32.9	31.6	-1.4	21	19	-34%
11	4,158	34.9	35.3	0.4	24	24	11%
12	3,587	33.8	34.9	1.0	22	24	48%

Fall-to-Spring Testing Cycle

Grade	Weighted Number Tested	Mean NCE Pretest	Mean NCE Posttest	Gain	Percentile Pretest	Percentile Posttest	Percent Additional Growth
2	124,576	32.0	42.5	10.5	20	36	88%
3	137,608	31.5	40.1	8.6	19	32	69%
4	147,333	30.8	39.8	9.0	18	31	134%
5	136,872	30.5	38.7	8.2	18	30	115%
6	119,003	30.9	38.6	7.7	18	29	141%
7	74,807	30.6	36.9	6.3	18	27	150%
8	60,747	30.1	36.3	6.2	17	26	184%
9	28,579	29.8	35.9	6.2	17	25	200%
10	12,192	32.0	37.3	5.3	20	27	204%
11	5,270	32.5	38.1	5.6	20	29	311%
12	2,195	30.7	37.2	6.5	18	27	650%

In reading, students tested on an annual testing cycle showed modest positive gains at all grade levels except grades ten and twelve. The largest gain was reported at grade six, where the typical student moved from the 22nd to the 27th percentile. Differences among the grades are small, however, and should not be interpreted to indicate actual differences in program effectiveness at different grade levels. (In fact, one would expect to see greater gains made at lower grade levels due to the ways in which tests are normed.) There was great variation among the States on the gains and pretest standing reported. The range of reported gain scores, as expected, tends to decrease across grades, although considerable variation is found at all grades.)

In mathematics, students tested on an annual testing cycle showed modest positive gains at all levels except grade ten. The largest gains were found at grade six, where the typical student moved from the 24th to the 31st percentile. The variability among States was even greater for mathematics than it was for reading.

The data presented in Tables 15 and 16 must be viewed at this stage with great caution, since these data: (1) are based on scores aggregated across many different tests, of varying quality and appropriateness, and administered under locally controlled conditions; (2) in some situations were obtained in States or districts implementing new evaluation procedures for the first time; and (3) in some situations quality control procedures may not have been adequately implemented. While these particular problems are not features of the "Sustaining Effects Study," it is nevertheless the case that sometimes the TIERS data may prove more valid than the "Sustaining Effects Study" data, since local control over test selection may account for a better match between the test and the instructional objectives of the Title I programs.

As can also be seen in Table 15, the results obtained from the annual testing cycle evaluations more closely resemble the results obtained in the "Sustaining Effects Study" than do the results of fall-spring evaluations. However, the differences between the annual and academic year results are not fully understood at this time. These differences do not, however, appear to result from summer drop-off so much as from artifacts of the testing/student selection situation.

A recent study by Linn (Reisner, Alkin, Boruch, Linn & Millman, 1982) provided information on the validity of the Title I Evaluation and Reporting System. Linn concluded that the predominant pattern of testing project participants in the fall to establish a benchmark against which spring test results are compared to estimate gains is subject to many sources of bias. Although no single source of bias is large enough to invalidate the results, they tend to push the results in the same direction and the cumulative effect is large enough to make the estimated gains overstate the amount of impact by a substantial margin. An annual testing cycle produces results that are less subject to bias than those obtained from a fall-to-spring testing cycle. Even the gains estimated from an annual testing cycle still have small positive bias, but it is apt to be only about 1 or possibly 2 NCEs. An annual testing cycle would substantially reduce the testing burden for Title I students as well.

ED is investigating these issues and will report more fully on the achievement results and their interpretations, as well as on the similarities and differences obtained from the different evaluation strategies (local vs. national studies) in the next biennial evaluation report to Congress.

Table 17 presents the results of the annual testing cycle for reading and mathematics after correction for bias by subtraction of 1 NCE, as recommended by Linn (1982).

Table 17

Adjusted Title I Reading and Mathematics Annual Achievement Results

Grade	Reading					Mathematics				
	NCE			Percentile		NCE			Percentile	
	Pre	Corrected Post	Corrected Gain	Pre	Corrected Post	Pre	Corrected Post	Corrected Gain	Pre	Corrected Post
2	37.6	37.6	0.0	28	28	41.9	42.0	0.1	35	35
3	34.3	35.7	1.4	23	25	39.7	39.1	-0.6	31	30
4	34.7	35.6	0.9	23	25	37.5	38.2	0.8	28	29
5	33.9	35.2	1.3	22	24	36.6	38.0	1.5	26	28
6	33.9	36.7	2.2	22	26	35.4	38.3	2.9	24	29
7	33.9	34.8	0.8	22	24	34.5	35.7	1.2	23	25
8	33.6	34.8	1.2	22	24	34.3	36.1	1.8	23	26
9	32.0	32.8	0.8	20	21	34.6	34.1	-0.5	23	23
10	30.2	28.5	-1.7	17	15	32.9	30.6	-2.4	21	18
11	27.5	24.3	-3.2	14	11	34.9	34.3	-0.6	24	23
12	25.5	25.8	0.4	12	13	33.9	33.9	0.0	22	22

Also, for reading and mathematics projects in grades two, six, and ten, States have provided ED with detailed information on program characteristics. ED will be thoroughly examining the distributions of various instructional strategies, allocated resources, student-teacher ratios and other background variables and their interrelationships. In addition, extensive data on evaluation model implementation, test selection and summer effects will be examined in relationship to achievement gains.

In summary, it is important to note that a consistent picture emerges from a variety of sources that Title I services can lead to improvements in student performance. To differing degrees, this conclusion is supported by the results not only of the "Sustaining Effects Study" and by the TIERS results, but also from results obtained from recent surveys conducted by the National Assessment of Educational Progress.

The full analysis and interpretations of the evaluation results in the area of student achievement in reading, mathematics and language arts was presented in the 1982 Title I Report to Congress, which is available from the Office of Planning, Budget and Evaluation of the Education Department.

Current Analytic Activities

There are five studies underway or recently completed that describe the operations and effects of Title I. Some have been discussed at length in this chapter, but all are presented below for completeness.

1. Sustaining Effects Study. The study documents the characteristics of schools and students in the program, the services received over a three-year period, and the effects of services. An interim report is now available, presenting highlights of the findings in all areas except student growth over three years. The final report will be available in the fall of 1982.

2. Description of State Management Practices. The study documents State responses to changes in the management of Title I, as affected by the Education Amendments of 1978 and by the passage of the "Education Consolidation and Improvement Act." Includes identification of especially effective practices for dissemination to program managers. In addition, the study will examine the need by State personnel for future Federal technical assistance. A final report will be available in mid-1982.

3. Description of District Practices Since 1978. The study documents district implementation of Title I, especially in areas changed in 1978 and likely to be affected by the new consolidation legislation. The study will also focus on the effects on services to non-public students and secondary students by legislative provisions and changes. Phase III of the study, with a focus on identification of exemplary sites and practices, will begin in mid-1982.

4. Study of Parent Involvement in Four Federal Programs. The study provides documentation of activities with parents as supported by four Federal education programs: ESEA Title I, Title VII, Follow Through, and ESAA. Final reports and field handbooks to improve parental involvement components of programs will be available in 1982.

5. Assessment of the Title I Evaluation and Reporting System. The study examines and documents the operation of the evaluation models, their effects on State and local evaluation practices, the utility of evaluation results for program improvement at the local, State and Federal levels, and provides a follow-up study of the operation of the Title I evaluation Technical Assistance Centers. A final report was delivered on April 15, 1982 and is now available from the Office of Planning, Budget and Evaluation.

References and Sources of Evaluation Data

Anderson, J.I., and R.M. Stonehill. Measuring the effects of compensatory education--searching for convergence from national, State, and local evaluations. Paper presented at the annual meeting of the American Educational Research Association, New York City, March 1982.

Anderson, J.I. Measuring the effectiveness of Title I: A summary of the 1979-80 State Title I evaluation reports. Paper presented at the annual meeting of the American Educational Research Association, March 1982.

Breglio, V.J., R.H. Hinckley, and R.L. Beal. *Student's economic and educational status and selection for compensatory education*. Report No. 2 from the Sustaining Effects Study. Washington, D.C.: U.S. Department of Education, 1978.

Carter, Launor. *The Sustaining Effects Study: An interim report.* Santa Monica, California: System Development Corporation, October 1980.

Congressional Record, Volume 127, No. 116, Part II, July 29, 1981, pp. 5459 - 5471.

Ellman, F., L. Ferrara, J. Moskowitz, and S. Stewart. *Utilization and effects of alternative measures of comparability*. Washington, D.C.: AUI Policy Research, August 1981.

Federal Register, Volume 45, No. 114, June 11, 1980, pp. 39712 - 39764.

Federal Register, Volume 46, No. 12, January 19, 1981, pp. 5136 - 5236.

Federal Register, Volume 46, No. 59, March 27, 1981, pp. 18976,7.

Goor, J. *ESEA Title I Evaluation: School District Needs for Technical Assistance, 1979*. Fast Response Survey System Report No. 8. Washington, D.C.: National Center for Educational Statistics, 1980.

Gurwitz, A., and L. Darling-Hammond. *Maintenance of effort provisions: An instrument of federalism in education*. Rand Corp. Report R-2684-ED. Santa Monica, California: Rand Corporation, October 1980.

Haggart, S. *The resource approach to the analysis of educational project cost*. No. 3 in a Series of Monographs on Evaluation in Education, Government Printing Office 017-080-01914-1. Washington, D.C.: U.S. Department of Education, 1978.

Haggart, S., L.S. Klibanoff, G.C. Sumner, and R.S. Williams. *Resource analysis of compensatory education*. Report No. 6 of the Sustaining Effects Study. Washington, D.C.: U.S. Department of Education, 1978.

Hammond, P., and J. Frechtling. Twelve, nine and three month achievement gains of low- and average-achieving elementary school students. Paper presented at the annual meeting of the American Educational Research Association, San Francisco, California, 1979.

Hemenway, J., and D. Ozenne. *An examination of the effects of summer school attendance on ESAA evaluation participation.* Santa Monica, California: System Development Corporation, 1977.

Hemenway, J.A., M.M. Wang, C.E. Kenoyer, R. Hoepfner, M.B. Bear, and G. Smith. *The measures and variables in the Sustaining Effects Study.* Report No. 9 of the Sustaining Effects Study. Washington, D.C.: U.S. Department of Education, 1978.

Hinckley, R. H., ed. *Student home environment, educational achievement and compensatory education.* Report No. 4 of the Sustaining Effects Study. Washington, D.C.: U.S. Department of Education, 1979.

Hoepfner, R., H. Zagorski, and J.B. Wellisch. *The sample for the sustaining effects study and projections of its characteristics to the national population.* Report No. 2 of the Sustaining Effects Study. Washington, D.C.: U.S. Department of Education, 1977.

Hoepfner, R. *A study of achievement scores over the summer months.* Santa Monica, California: System Development Corporation, 1978.

Hoepfner, R. Summer school: Is there an achievement drop over the summer and does summer school alleviate it? Paper presented at the annual meeting of the American Educational Research Association, San Francisco, California, 1979.

Kenoyer, C. E., and D.M. Cooper. Targeting of compensatory education services. In Hoepfner, R. (ed.), *Supplemental reports.* Report No. 13 of the Sustaining Effects Study. Washington, D.C.: U.S. Department of Education, 1980.

Keynoyer, C.E., D.M. Cooper, D.E. Saxton, and R. Hoepfner. *The effects of discontining compensatory-education services.* Report No. 11 of the Sustaining Effects Study. Washington, D.C.: U.S. Department of Education, 1981.

National Institute of Education. *Evaluating compensatory education: An interim report on the NIE compensatory education study.* Washington, D.C.: Department of Health, Education and Welfare, 1976.

National Institute of Education. *Administration of compensatory education.* Washington, D.C.: Department of Health, Education and Welfare, 1976.

National Institute of Education. *The effects of services on student development.* Washington, D.C.: Department of Health, Education and Welfare, 1976.

Office of Evaluation and Program Management. *Annual Evaluation Report, Volumes I and II, Fiscal Year 1980.* Washington, D.C.: U.S. Department of Education, 1981.

Office of Planning, Budget and Evaluation. *Annual Evaluation Report, Volumes I and II, Fiscal Year 1981.* Washington, D.C.: U.S. Department of Education, 1982.

Pelavin, S., and J. David. Evaluating long term achievement: An analysis of longitudinal data from compensatory education programs. Menlo Park, California: Stanford Research Institute, 1977.

Reisner, E.R., M.C. Alkin, R.F. Boruch, R.L. Linn, and J. Millman. Assessment of the Title I Evaluation and Reporting System. Washington, D.C.: U.S. Department of Education, 1982.

State Title I Financial and Performance Reports, Fiscal Year 1978.

State Title I Financial and Performance Reports, Fiscal Year 1980.

Trismen, Donald, Waller, M. I. & Wilder, G. Final report on the study of compensatory reading programs. Washington, D.C.: U.S. Department of Health, Education and Welfare, 1976.

U.S. Congress. Public Law 95-561, the Education Amendments of 1978.

U.S. Congress. Public Law 97-35, the Omnibus Budget Reconciliation Act of 1981.

U.S. Department of Education. An evaluation of ESEA Title I--Program operations and educational effects. A report to Congress. Washington, D.C., 1982.

Wang, M.M. The nature and recipients of compensatory education. Report No. 3 of the Sustaining Effects Study. Washington, D.C.: U.S. Department of Health, Education and Welfare, 1978.

Wang, M.M. Student educational development during the school year and the effects of compensatory education. Report No. 10 from the Sustaining Effects Study. Washington, D.C.: U.S. Department of Education, 1980.

Zagorski, H., J.E. Conkin, D.M. Cooper, and R. Hoepfner. Does compensatory education narrow the achievement gap? Report No. 12 from the Sustaining Effects Study. Washington, D.C.: Department of Education, 1982 (draft).

For further information about program operations:

Contact: William Lobosco
(202) 245-3081

For further information about program effectiveness:

Contact: Robert Stonehill
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Migrant Education Program (Title I, ESEA)
(CFDA No. 84.011)

Legislation:

Sections 141-143 of Title I of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561.

Expiration Date:

September 30, 1982

Funding History:

Year:	Authorization:	Appropriation:
1967	$ 40,394,401	$ 9,737,[illegible]7
1968 1/	41,692,425	41,692,425
1969	45,556,074	45,556,074
1970	51,014,319	51,014,319
1971	57,608,680	51,608,680
1972	64,822,926	64,822,926
1973	72,772,187	72,772,187
1974	78,331,437	78,331,437
1975 2/	189,043,638	189,043,638
1976	130,909,832	130,909,832
1977	145,759,940	145,759,940
1978	173,548,829	173,548,829
1979	209,593,746	209,593,746
1980 3/	245,000,000	245,000,000
1981	266,400,000	266,400,000
1982	255,744,000	255,744,000

Program Goals and Objectives:

Title I of P.L. 89-10, the Elementary and Secondary Education Act of 1965, authorized a national education program for disadvantaged children.

1/ Section 193 of ESEA Title I requires that grants for the Part B State-operated programs (Migrant, Handicapped, and Neglected or Delinquent) be awarded as authorized. This is referred to as "off-the-top funding" or being "fully-funded," in contrast to LEA grants that are reduced as necessitated by appropriations. However, starting in FY 1980, Congress placed a cap on the amount authorized for each of the Title I State-operated programs by specifying a specific funding level for each State-operated program in the appropriations process.

2/ Commencing in 1976, the program is advance funded from the prior year appropriation. This resulted in a doubling up of funding in 1975, because funding for both 1975 ($91,953,160) and 1976 ($97,090,478) were appropriated in FY 75.

3/ Since FY 1980, the amount authorized includes funds for the Migrant Student Record Transfer System and the Interstate/Intrastate Coordination Project.

In November 1966, Title I of ESEA was amended by P.L. 89-750 to incorporate special provisions for migrant chidlren of migrant agricultural workers.

The new program provided for grants to State educational agencies (SEAs) or combinations of SEAs to establish or improve, either directly or through local educational agencies (LEAs), programs and projects designed to meet the special educational needs of migrant children. P.L. 89-750 also provided that grant monies were to be used for interstate coordination of migrant education programs and projects, including the transmittal of pertinent information of children's school records. Section 101 of P.L. 93-380 (the Education Amendments of 1974) further amended Title I to include migrant children of migrant fishermen. The Education Amendments of 1978 (P.L. 95-561) reorganized the Title I legislation; currently sections 141-143 pertain to the Migrant Education Program.

In discussions associated with the preparation of the Education Amendments of 1974, Congress emphasized "that local educational agencies should give priority attention in operating Title I programs to the basic cognitive skills in reading amd mathematics, and to related support activities to eliminate physical, emotional or social problems that impede the ability to acquire such skills." 4/ Final regulations (published in the Federal Register on April 3 1980, Vol. 45 No. 66, pp. 22660-76) for the Migrant Education Program emphasize the same point with the inclusion of the following criteria for State applications (Section 116d.51(b)): "The projects ... must be designed to meet the special educational needs of the migratory children to be served, particularly any need for improvement in the basic academic subjects." In addition, Section 116d.59 (a) of the regulations states: "An SEA or an operating agency may provide health, nutritional, social, or other supporting services with migrant education funds -- if (1) These services are necessary to enable eligible migratory children to participate effectively in instructional services; and (2) In the case of an operating agency, that agency has first -- (i) Requested assistance from the SEA in locating and using other Federal and State programs to provide these services; and (ii) Determined that funds or services from other programs are not available or are inadequate to meet the needs of the participating migratory children."

A list of services to be provided by the Migrant Education Program is contained in Section 116d.51 of the final regulations:

> (1) Academic instruction; (2) Remedial and compensatory instruction; (3) Bilingual and multicultural instruction; (4) Vocational instruction and career education services; (5) Special guidance, counseling, and testing services; (6) Preschool services; (7) Other educational services that are not available to migratory children in adequate quantity or quality; and (8) The acquisition of instructional material--such as books and other printed or audiovisual materials--and equipment; (9) Other services that meet the purposes of the Migrant Education Program.

4/ See pp. 20-21 of House Report No. 93-805. Both House and Senate discussions (see Senate Report No. 93-763, pp. 30-31) recognized that such an assertion was not intended to preempt the prerogatives of local authorities to give priority to other areas (e.g., teacher training), if such emphases were required to better meet the needs of disadvantaged children.

An implicit goal of the Migrant Education Program is to serve all eligible migrant students in order that they may benefit from "regular" and supplementary educational and supportive services.

According to Section 116d.58(c) of the final regulations: "An SEA and its operating agencies shall serve all eligible migratory children -- according to their needs -- in the following order: (1) School-aged currently migratory children. (2) School-aged formerly migratory children. (3) Preschool currently migratory children. (4) Preschool formerly migratory children."

At the same time: "An SEA may support a project that provides instructional or supporting services to formerly migratory children if the participation of those children does not -- (i) Prevent the participation of currently migratory children of the same age group (i.e., preschool or school-aged); or (ii) Dilute the effectiveness of the State migrant education program for those currently migratory children." (Section 116d.58(b))

Program Operations:

The Title I program for migrant children is a State-operated program which typically involves financial assistance to local educational agencies as subgrantees. Administrative responsibilities are shared by the U.S. Department of Education (ED), State educational agencies, and local educational agencies and other public and non-profit private organizations which operate migrant education projects. Funding of local Title I migrant education projects is administered by ED through State educational agencies. The formula for computing the maximum grant a State may receive is based on the number of full-time (that is, formerly migratory and currently migratory intrastate students) or full-time equivalent (that is, currently migratory interstate students) school-aged (5-17 years) migrant children residing in the State over a 12-month period. Prior to FY 1975, funding was based upon estimates of numbers of migrant children supplied by the U.S. Department of Labor. Beginning in FY 1975, however, State allocations have been based on migrant student counts contained in the Migrant Student Record Transfer System (MSRTS), a computer system housed in Little Rock, Arkansas, under contract to the State education agency. Changes made in the law by the Education Amendments of 1978 (P.L. 95-561), as reflected in final regulations, include providing a mechanism for adjusting the count of eligible migrant children in each State during the summer months in order to reflect the special needs of migrant children for summer projects and the additional costs of operating these projects (Section 116d.20(b)).

The SEA is directly responsible for the administration and operation of the State's Title I migrant education program. The SEA approves or disapproves project proposals, and is responsible for the design and preparation of State evaluation reports. Annually, each SEA also submits a comprehensive plan and cost estimate for its statewide program to ED for approval. Section 116d.12 of the regulations requires that this plan contain information on: the strategy for identifying and recruiting all eligible migratory children in the State; the estimated number of children in the State and the number of these children to be served; the educational needs of the children; the objectives for the program evaluation, how the measurement will be conducted, and how the results will be eported; the types of instructional services to be provided; the participation of parent advisory councils and parental involvement strategies; the efforts for assuring interstate and intrastate coordination (including full use of the Migrant Student Record Transfer System); the effective use of LEAs and other public or nonpublic agencies in operating projects; assurances that operating agencies will make use of existing equipment and facilities before requesting program funds for the purpose; the State's monitoring and enforcement plan; the use of Title I administrative funds; and the inservice training of staff members and the training of parent advisory council members. Each State application also contains an appropriate budget. Section 116d.14 of the regulations states that the Secretary approves a State plan for migrant education only if it is designed to meet the special educational needs of migrant children eligible to be served and holds reasonable promise of making substantial progress toward meeting those needs.

If the State's application is approved, it is awarded a grant, entirely separate from its regular Title I application, to finance the migrant education program. Two or more SEAs are permitted to submit an application for a joint program or project to be administered under an appropriate interagency agreement.

An important component of the national program is the Migrant Student Record Transfer System (MSRTS). This computerized data system receives, stores, and transmits educational and health information on children participating in Title I migrant education projects in each of the 50 States, District of Columbia and Puerto Rico. Schools are responsible for submitting, to the local terminal operator, health-related, educational experience, and status information on the migrant children they serve. When children move to new locations, this information can then be retrieved by their new teachers and by school health officals.

A GAO study (Sept. 16, 1975) of the use of the Migrant Student Record Transfer System as a means of estimating the number of full-time equivalent migrant children residing in each State concluded that MSRTS data were superior to Department of Labor data for determining migrant education program allocations. However, GAO did not assess the accuracy and completeness of the MSRTS data.

Information from a recently completed study (Clayton, et al., 1980) of the student counts used to allocate funds for the Migrant Education Program indicated the following:

- MSRTS counts of migrant students provide an adequate and equitable source of data for use in the allocation of funds.
- Overall, the 1977, FTE counts (both for the nation as a whole, and for the geographic regions defined for the study) seemed to represent a conservative estimate of the total number of migrant children.

A 1978 internal audit of the administration of the Migrant Education Program resulted in a number of recommendations pertaining to: (1) the application process (including the use of specific criteria for assessing the quality of State applications, the use of non-Federal readers, conduct of pre-grant site reviews, fixing application receipt and response dates, and employing sanctions to assure compliance with the terms and conditions of grant awards); (2) the allocation of program funds (including use of the by-pass mechanism and procedures for reallocating excess funds); (3) increasing parental involvement; (4) improving intrastate and interstate coordination; (5) re-ordering the priority given to preschool currently migratory children; and (6) raising the organizational structure of the Migrant Education Program from a branch to a division. Many of the recommendations have been incorporated into the final regulations (Federal Register, April 3, 1980, Vol. 45, No. 66, pp. 22660-77).

Program Scope:

Migrant students typically are educationally and economically disadvantaged in comparison to the rest of American society, and in addition, active migrant students by definition miss the systematically sequenced and sustained educational programs available to most non-migrant children.

The following list indicates the number of full-time equivalent students enrolled on the MSRTS since 1973. These counts serve as the basis for program funding, e.g., the 1978 FTE figure was used to determine FY 1980 funding. One full-time equivalent equals 365 days of enrollment on the MSRTS.

Calendar Year	Full-time Equivalent Students (ages 5-17)
1973	212,473
1974	207,474
1975	267,791
1976	296,428
1977	323,504
1978	346,205
1979	369,082
1980	396,311
1981	417,298

A count of the actual number of students identified as eligible for program services and enrolled on the MSRTS is provided below. Many students are not enrolled for the full calendar year, which accounts for the difference between FTE and actual counts.

Calendar Year	Number of Eligible Students
1976	458,241
1977	467,796
1978	494,417
1979	522,154
1980	550,253
1981	577,483

The Migrant Education Program has grown from 121 projects in 1967 serving approximately 43,000 students to 3,000 projects in 1981 serving approximately 577,000 students.

Program Effectiveness and Progress:

In 1981, three final reports from the Study of ESEA Title I Migrant Education were published. These reports described the impact of the program (Wisenbaker, J.M., West, D.B., and Novak, T.P., 1981), future directions for evaluation activities (Pyecha, J.M., 1981), and summarized descriptive, impact and observational data (Cameron, B.F., 1981). The information detailed below is from the Comprehensive Summary (Cameron, B.F., 1981). Due to space limitations, much of the discussion of findings is not included here.

Major study findings are summarized by three topical areas: (a) general descriptive information about migrant children; (b) the types of compensatory instruction received by migrant children; and (c) the impact of the Migrant Education Program. Study findings should be considered applicable primarily to the children of migrant agricultural workers. Though samples included children of migrant fishers also, the population of fishers, and the portions of the samples representing that segment of the population, are too small to permit the exertion of much influence on study findings. Following these findings is a general hypothesis concerning the characteristics of the migrant child population, and the interaction of these characteristics with the distribution of services by the Migrant Education Program. This hypothesis is consistent with study findings, and it provides a logical and useful context for their proper interpretation.

A. Descriptive Information about Migrant Children

Major descriptive findings regarding migrant children are concerned with those children who in 1977 were in the 5-17 age range, and who had active enrollments on the MSRTS. These findings focus on: school enrollment and attendance patterns; race, ethnicity, and English-language competence; and mobility. Findings regarding academic achievement in reading and mathematics (No. 2, below), and program impact (Section C) are concerned with migrant children in school in grades 2, 4, and 6 in January 1978.

1. School Enrollment and Attendance

- Only about 24 percent of the estimated population of 372,000 identified migrant children in 1977 showed enrollments in more than one school district during the calendar year; an additional 30 percent were enrolled in only one district during the year, but for less than the full year. The remaining 46 percent were enrolled in the same school district for the full calendar year.
- Those migrant children enrolled in school less than the full year miss, on the average, about six weeks of school during the calendar year.

- Throughout the grade levels, migrant children are significantly older than their modal cohorts of all school children in the specific grade (or of all Blacks in the specific grade). For example, in kindergarten and first grade, about 30 percent of migrant children are older than the modal age-for-grade; the proportion over modal age at grade 8 increases to about 50 percent. About 44 percent at grade 11 (when it may be assumed proportionally more older students have dropped out of school) are over modal age.

- During the periods when migrant children are enrolled in school their attendance rates are somewhat higher than those for the school population as a whole.

- There appears to be, from estimates of the migrant student population by grade level, rapid dropout of migrant students beginning at about the eighth grade.

2. Academic Achievement in Reading and Mathematics

- In terms of their pretest scores in reading (and, to a slightly lesser extent, their pretest scores in mathematics), migrant children in grades 2, 4, and 6 show significant educational disadvantage. In early 1978, migrant children in grades 4 and 6 had mean scores 0.8 standard deviations below the grade-level counterpart general population in reading, and 0.6 standard deviations below the counterpart general population in mathematics (because the migrant population is significantly over age in grade, the age-based discrepancy would be much larger). On the reading test, across all three grades, it is estimated that at least 48 to 62 percent of the migrant children scored below the 25th percentile for the population as a whole; on the mathematics test, at least 27 to 39 percent scored below the 25th percentile. The degree of this disadvantage overshadows all other education-related factors for these children.

- Migrant children in grades 2, 4, and 6 showed statistically significant gains in reading and mathematics test scores over the year between pretest and posttest; in fact, reading score gains (expressed in standard scale score points) are nearly as high as the gains expected for the population as a whole. Nevertheless, the absolute achievement of migrant children appears to fall farther behind that of the general population as the children get older.

3. Race, Ethnicity, and English Language Competence

- The national population of migrant children in 1977 was preponderantly Hispanic, with the large majority of Hispanics being Mexican American.

- Hispanic migrants were significantly more active (mobile) than other racial or ethnic groups. Most Black migrants appeared to have settled out, and were presumedly being replaced by Hispanics in the active population.

- Most migrant children were thought by their teachers to display sufficient facility with the English language for this factor alone not to be an important impediment to academic achievement. Nevertheless, the group whose language proficiency was judged by teachers to be sufficiently limited for it to interfere with classroom work was large enough to warrant continued concentrated attention, particularly in the early school years.

4. The Mobility of Migrant Children

- None of the informtion readily accessible to this study revealed as great a degree of movement for the migrant population as was generally expected. However, it is probable that the greater difficulty experienced in keeping track of the more mobile members of the population (who are often unidentified, unserved, and out of school) distorts the inferences made about mobility from accessible records (from the study's survey or from MSRTS) to such a degree that valid statements about the mobility of the entire migrant population cannot be made with assurance from any available data. Study data do, however, permit valid inferences about the mobility of the population served. Only 24 percent of the estimated population of 372,000 identified migrant children served by the Migrant Education Program were enrolled in more than one school district in 1977; 30 percent were enrolled in only one district, but for less than the full school year; and the remaining 46 percent (or nearly half) were enrolled in one district for the full school year. However, approximately half the children enrolled in one district for the entire year were classified as active migrants.

B. The Receipt of Compensatory Instruction by Migrant Children

- For the Nation as a whole, identified migrant children (i.e., those covered by this study) were over twice as likely as poor children in general to receive compensatory instruction. While most of this compensatory instruction was supplied through the Migrant Education Program (from which 64 percent of the elementary school migrant children received instruction), a migrant child was more likely than a poor nonmigrant child to also receive regular (LEA Grant) Title I instruction.

1. As Related to Mobility

- Migrant children classified (by a combination of survey data and MSRTS entries) as being active (interstate or intrastate) were somewhat more likely to receive instruction and support services funded by the Migrant Education Program than were inactive migrant children, whether or not their migrancy led to actual school disruption. Differences found were not great, however, and were not always statistically significant.

- Though inactive migrant children were less likely than active migrant children to receive instruction from the Migrant Education Program, fully one-fourth of the MEP-funded instructional effort went to formerly migrant children in 1977.

2. As Related to Subject Matter

- Nearly all migrant children (97%) at any school level who received any instruction funded by the Migrant Education Program received instruction in reading or language arts; 66% received instruction in mathematics; and 39% received instruction in one or more other subjects.

3. As Related to School Level

- Elementary and secondary school migrant children were equally likely to receive some instruction funded by the Migrant Education Program during the regular school year. However, participation in summer programs was heavily concentrated in the elementary school grades: three-fourths of the children who received migrant-funded instruction in summer school were enrolled in the first five grades; and an individual migrant child in one of these grades was three times as likely to receive instruction as was a high school migrant child.

4. During the Summer Term

- Though substantial portions of the compensatory instruction received by migrant chidlren during the regular school terms came from funding sources other than the Migrant Education Program, virtually all instruction provided during the summer came through the Migrant Education Program.

C. Impact of the Migrant Education Program

- Analyses of study data failed to indicate any consistent, significant relationship between pre-to-posttest score gains for migrant children in grades 2, 4, and 6, and any variable that had to do with compensatory instruction provided by the Migrant Education Program, or by any other funding source. In fact, no relationship was found between score gains and attendance in school. Given the one-year, pre-to posttest time period, the fact that pretest scores were generally low and large gains were not anticipated, and the global focus of the norm-referenced tests used in the study, this finding is not a surprising one.

D. A General Hypothesis Concerning the Migrant Population

A general conjecture, which is supported or variously implied in several different ways in the body of this report, can serve to synthesize most of the elements that are important in considering study results, and their significance to program policy and plans. This conjecture draws on the discovery that a large portion of the members of the study sample who were removed from the MSRTS in January 1979 because of the inactivity of their records were not only eligible migrant children, but were also among the most actively migrant in the sample. It is also consistent with good statistical evidence that nearly 40 percent of the children listed by the MSRTS and estimated to be in grades 2, 4, and 6 during the 1977-78 school year were found not to be in school in early 1978. Nevertheless, some conjecture and a degree of supposition are involved; consequently, this general result in couched as an hypothesis rather than as a finding.

The hypothesis may be stated as follows: The population of migrant agricultural workers that has regularly (or frequently) moved with children who are eligible to participate in the Migrant Education Program is composed of two (or perhaps three) tiers:

1) An established, relatively stable, population that has characteristics closely resembling those of the impact population for this study; it moves relatively little; it shields its children to a surprising degree from the rigors of migrant life and disrupted schooling; it is slightly more Hispanic than the general population of migrant workers; it makes maximum use of the Migrant Education Program; it returns regularly to the same home base; it tends to move in well-established patterns, returning each year to the same areas, at about the same time; and it contains something over half (but not all) of the population of eligible formerly migrant children.

2) A constantly changing, relatively unstable population that is only occasionally and fleetingly recognized by the Migrant Education Program, either by the provision of services or by enrollment on the MSRTS; it is largely invisible to established social agencies, such as schools; its children, traveling with their parents or guardians, are constantly subjected to the severe rigors of migrant life, and seldom attend school in this country (and those who do attend school are unlikely to attend regularly); it contains a substantial representation of the formerly migrant population, including many Blacks who are really tenant farmers, but who intermittently qualify as active migrants because of moves across school district lines; it is more frequently mobile than the first group, but moves are likely to be for shorter distances; a large portion of its sizable Hispanic population has no stable home base in this country, and returns frequently to Mexico or one of the Caribbean islands.

3) A possible third group is a downward extension of the second, differing primarily in that it is almost completely invisible to formal social agencies, including the Migrant Education Program and the MSRTS recruiters; it is likely to contain, from time to time, large atypical groups, perhaps transiently. If this group exists (and it is likely to), it was represented only incidentally and fleetingly in study samples.

This hypothesis, if tenable, has a serious implication for the findings of the study: that the migrant children identified and studied, and forming the basis for this report, are drawn largely from the first tier.

The above discussion summarizes the major findings of the study as presented in the Comprehensive Summary, which is available on request.

Current Analytic Activities:

No studies are currently underway. Future studies of the migrant program are now under discussion.

Sources of Evaluation Data:

Cameron, B.F. Comprehensive Summary: Study of the ESEA Title I Migrant Education Program. Research Triangle Park, N.C.: Research Triangle Institute, March, 1981.

Clayton, C.A., Drummond, D.J., Alexander, B.U., and Cameron, B.F. Validation of Student Counts Used to Allocate Funds for the ESEA Title I Migrant Education Program-Technical Report. Research Triangle Park, N.C.: Research Triangle Institute, November, 1980.

Pyecha, J.N. Revised Strategy for Evaluation the ESEA Title I Migrant Education Program at the National and State Levels. Research Triangle Park, N.C.: Research Triangle Institute, January, 1981.

Wisenbaker, J.M., West, P.B., and Novak, T.P. Impact of the ESEA Title I Migrant Education Program on the Reading and Mathematics Achievement of Participating Students in the Second, Fourth, and Sixth Grades-Final Technical Report. Research Triangle Park, N.C.: Research Triangle Institute, January, 1981.

Grants to State Educational Agencies to Meet the Special Educational Needs of Migratory Children: Rules and Regulations. Federal Register. April 3, 1980, Vol. 45, No. 66, -- 22660-77.

Other:

Evaluation of the Impact of ESEA Title I Program for Migrant Children of Migrant Agricultural Workers (Volume I-IV). Falls Chruch, Virginia: Exotech System, Inc., January 1974.

Evaluation of the Migrants Student Record Transfer System (MWD-76-21). Washington, D.C.: General Accounting Office, September 1975.

For further information about program operations,

Contact: Vidal A. Rivera, Jr.
(202) 245-2181

For further information about studies of program effectiveness,

Contact: James J. English
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Program for Institutionalized Neglected or Delinquent Children (Title I, ESEA) (CFDA No. 84.013)

Legislation:

Title I of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561.

Expiration Date:

September 30, 1982

Funding History:	Year:	Authorization:	Appropriation: 1/
	1969	$13,946,100	$13,946,100
	1970	15,962,850	16,006,487
	1971	18,194,106	18,194,106
	1972	20,212,666	20,212,666
	1973 2/	27,545,379	27,545,379
	1974	25,448,869	25,448,869
	1975 3/	54,280,193	54,280,193
	1976	28,841,151	28,841,151
	1977	29,821,338	29,821,338
	1978	31,807,484	31,807,484
	1979	33,182,207	33,182,207
	1980 4/	32,391,655	32,391,655
	1981 4/	33,975,000	33,975,000
	1982 4/	32,616,000	32,616,000 (4th continuing resolution)

Program Goals and Objectives:

Title I of the Elementary and Secondary Education Act of 1965 has two major parts: A and B. Part A provides for grants to local school districts (and is described in a separate chapter in this report); Part B has three subparts providing grants to State agencies for (1)

1/ Section 193 of ESEA, Title I requires that grants for the Part B State-operated program for the neglected or delinquent (as well as those for State programs for the handicapped and for migrant children) be awarded as authorized. This is referred to as "off-the-top funding" or being "fully funded," in contrast to LEA grants that are reduced as necessitated by appropriations.

2/ Beginning in 1973, unlike the previous years, funds were authorized and appropriated to serve children in adult correctional institutions. About $6.8 million of the $7.3 million overall increase between 1972 and 1973 is attributable to the addition of that population.

3/ Ammencing in 1976 the program became advance-funded from the prior year's appropriation bill. This resulted in a doubling-up of funding in 1975.

4/ Congress placed a cap on the amount authorized for each of the State agency programs by specifying a specific funding level for each State agency program in the appropriations process.

programs for migratory children, (2) programs for handicapped children, and (3) programs for neglected and delinquent children. This chapter describes the operations and effects of the program authorized by the third subpart. Recent passage of the Education Consolidation and Improvement Act of 1981 (P.L. 97-35) incorporated the provisions of ESEA Title I Part B into Chapter 1, Section 554(a)(2).

As a subprogram of Title I, it shares the overall program's goals as stated in P.L. 89-10; that is, to

> "improve educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children." (Section 101 of P.L. 89-10.)

The amendments in P.L. 89-750 passed on November 3, 1966, which added institutionalized neglected or delinquent youth (as well as children of migratory agricultural workers and Indian children in B.I.A. schools) to those eligible under P.L. 89-10, stated goals for these programs. Section 152 of Title I states that projects supported by these Part B grants for the neglected or delinquent must be "designed to support educational services supplemental to the basic education of such children which must be provided by the State...."

Chapter I of the Education Consolidation and Improvement Act continues the authorization for State programs for the neglected and delinquent. Projects will be required to be consistent with the requirements of Chapter I, where appropriate. Regulations are currently being prepared which will provide additional guidance for the programs.

Program Operations:

The Title I program for children in institutions for neglected or delinquent youth or in adult corrections facilities is authorized by Sections 151-153 of Title I. Section 151 describes the computation of grants; Section 152, the requirements on such grantees; and Section 153, a new provision for services to students released from these institutions to provide special educational services to them after their placement in school at the local educational level. Each of these topics is discussed below.

State agencies eligible for these Part B grants are those "directly responsible for providing free public education for children in institutions for neglected or delinquent children or in adult correctional institutions" (Section 151 (a) of ESEA Title I). Such agencies are units called typically "Department of Youth Services," "Department of Corrections," "Department of Offender Rehabilitation," "Youth Commission," etc. Each State can have as many as three or four of these agencies, and they are the direct Title I grantees, supervised as other Title I grantees, by the State educational agency (SEA) as described in Part C of Title I, "State Administration of Programs and Projects."

The size of each agency's grant is, according to Section 151 of Title I, equal to the average daily attendance of children receiving free public education in the agency's schools multiplied by 40% of the State's average per pupil expenditure (or no less than 80% of the U.S. average per pupil expenditure and no more than 120% of the U.S. average). (Further, Section 157 states that for funds appropriated through Fiscal Year 1982 no State agency shall receive less than 85% of what it received the previous year.)

Section 152 of the law contains the requirements for Title I programs in the State. As noted above, the Section says that the projects must "support educational services supplemental to the education" provided by the State. Also incorporated by reference are the requirements defined for the Part A local school district grantees, such as having the project application approved by the State education agency (Section 121); designing and implementing a program of sufficient size, scope, and quality based on a needs assessment, coordinated with other programs, evaluated, with teacher, parent, and local administrators' participation, etc., (Section 124); adhering to the Title I fiscal requirements of maintenance of effort, excess costs, and supplement-not-supplant (Section 126 except paragraphs (d) and (e)); being accountable by keeping records and reporting (Section 127); providing for the resolution of complaints from parents, teachers, or other concerned individuals (Section 128); and whenever feasible, using individualized educational plans for students served by Title I (Section 129). (The only requirements of local Part A grantees which are waived by law for the Part B State agency grantees are Section 122 designating attendance areas, Section 123 requiring selection of the neediest students for services, Section 125 establishing Parent Advisory Councils, two paragraphs of Section 126 as noted above, and Section 130 about services to nonpublic school students.)

A study of State institutions receiving Title I funds in 1977 documented the numbers of children served, the nature of those services, the management of the program at the institution and State levels, and the flow of funds among the administrative levels. The study involved visits to 100 randomly selected institutions and interviews with students, teachers, and administrators in those sites. Interviews were also conducted with Title I administrators responsible for the N or D program in all States (as well as in Puerto Rico and the District of Columbia) including those in both the State Education Agency (SEA) and in the State Applicant Agency (SAA; e.g., the Department of Corrections, Youth Authority, etc.).

The flow of funds to Part B grantees was documented from these interviews and records. Funds available at the State level for education in institutions for neglected youth, delinquents, or adult offenders average about $2.1 million per State, ranging from about $17,000 to over $10 million. On the average, approximately 68% of these funds are from the State, 20% from ESEA Title I, and 12% from other federal sources. The average Title I grant is about $500,000, with a range of $24,000 to over $2.2 million. State funds average about $2 million, providing a typical per-pupil expenditure from all sources just slightly less than that found in public schools (System Development Corporation, 1977).

In the facilities, the funds are spent primarily on staff and materials. Nearly 75% of the Title I funds, on the average, support staff; this compares with 81% of the State funds being so used, and 40% of the funds from other Federal programs. In the case of Title I, nearly all those staff (over 80% on the average) are classroom personnel--teachers and paid aides; about 3% are administrators, about 6% counselors, and about 11% other types of support personnel. (This is in marked contrast with the expenditure pattern for staff from State funds and other Federal funds: in the case of the former, only about 41%, on the average, supports classroom personnel, 12% for administrators, and 37% for other support.) This seems to confirm interviewees' reports in the national study that the emphasis in Title I is on instruction (System Development Corporation, 1977).

On the average the Title I per-pupil expenditure in the institutions is $456, but the figures range from less than $100 to almost $1,700. For over 65% of the institutions, $500 or less was the Title I per-pupil expenditure. Inclusion of funds from all sources raises the average per-pupil costs for Title I students to about $1,350 (again, however, with a large range). The comparable figure for that same year in public schools was an average per-pupil expenditure of $1,550. (Most of the difference between the two figures is attributable to an extremely low per-pupil expenditure in institutions for adults.)

Program Scope:

Almost 27,000 children were receiving Title I services in State institutions in the fall of 1976. Of these, 2,550 were in institutions for the neglected, 16,730 in those for delinquent youth, and a little over 7,560 in those for adults. This compares to an estimate of just over 51,000 as eligible to participate in the program nationwide. Eligible students are those who are younger than 21, lack a high school diploma, participate in a regular program, and are low-achievers.

The number of children being served are shown in Figure 1. Also illustrated there are estimates of eligible children not being served by Title I. About 72% of the eligible neglected children in these institutions are being served by Title I, about 65% of the eligible delinquents, about 34% of the youth in facilities for adults.

In 20% of the institutions with Title I projects, those projects are able to serve all the eligible students; 55% of the institutions can serve half or more of the eligible students. Most of the sites who cannot serve at least half the eligible student population are institutions for adults. (Over 60% of them report this problem.)

An amendment introduced by Representative Simon of Illinois to the Higher Education Act of 1980 requests information as available on the effects of Federal education programs on students of different race, sex, and language groupings. Data are available from the national study on the sex, age, and race of participants in this program in Fiscal Year 1977. (There is no reason to expect the proportions to have changed since then.)

The figures are in Table 1.

The children participating in Title I greatly resemble those in the institutions as a whole, except, as would be expected, they are younger. With regard to sex, race, and commitment status, they are not significantly different from the general resident population. Also, their average length of stay is similar to that of the other residents: about 80% of the students in facilities for the neglected are there for 6 months or more; close to 60% of the youth in facilities for delinquents or adults are in the program 6 months or longer. The Title I students do exhibit more educational problems, however: the institutional students scored about the same on standardized tests as fifth graders in public schools; Title I students, about the same as fourth graders.

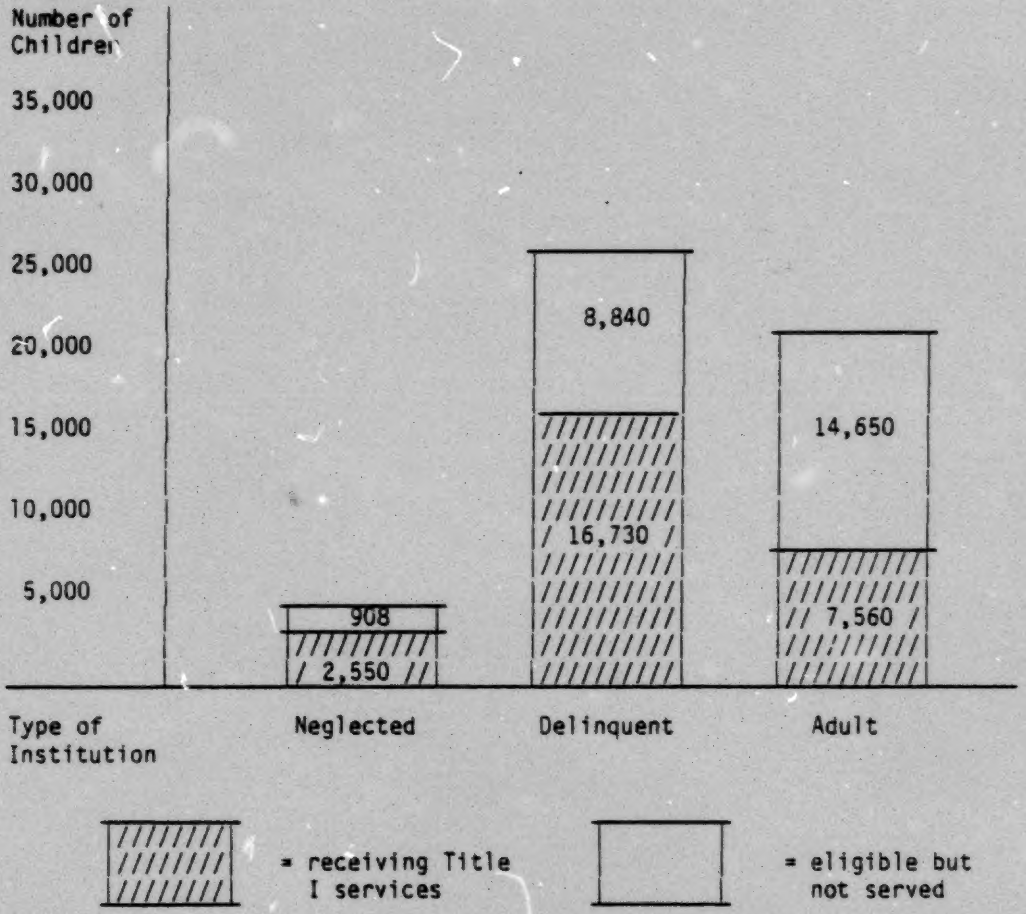


Figure 1. Number of children enrolled in the ESEA Title I program for institutionalized youth in the fall of 1976.

Table 1

Characteristics of Title I Students in Institutions for the Neglected, Delinquent, or Adult Offender in the Fall of 1976

Characteristics	Type of Institution					
	Neglected		Delinquent		Adult	
Age	#	(%)	#	(%)	#	(%)
13 or less	459	(18)	2,008	(12)	0	(0)
14-15	1,071	(42)	6,023	(36)	0	(0)
16-17	995	(39)	6,692	(40)	1,058	(14)
18-20	26	(1)	2,008	(12)	6,048	(80)
21 or more	0	(0)	0	(0)	454	(6)
Ethnicity						
Native American	153	(6)	335	(2)	76	(1)
Asian	26	(1)	167	(1)	0	(0)
Black	791	(31)	5,856	(35)	4,082	(54)
White	1,377	(54)	7,696	(46)	2,873	(38)
Hispanic	179	(7)	2,844	(17)	529	(7)
Sex						
Female	1,122	(44)	1,673	(10)	605	(8)
Male	1,428	(56)	15,057	(90)	6,955	(92)

The nature of Title I varies considerably from site to site according to how education, itself is organized in the facilities. In some cases, facility may have the appearance of a junior college campus with security concerns only slightly in evidence. In such a case, residents might be expected to live in small (10-15 person) cottages and to move freely to other buildings, such as those for classes. On the other hand, a facility with an obvious, over-riding orientation toward security concerns might consist merely of a large fenced-in building with two classrooms, perhaps a shop and library, in one wing. Occasionally classes might be held in multi-purpose rooms serving as dining halls or gymnasiums.

Education and the attention it receives from staff and students vary as much across institutions as do physical facilities. In some cases, education must, according to State law, be comparable to that of public schools. Residents must attend classes, and their progress is sometimes rewarded by access to better living areas (those with color television, for example) and to special privileges. In such a case, the residents' school day may look considerably like that in regular schools. A contrast would be institutions in which only a small percentage of the inmates are in education activities, or those (18% of the cases) in which educational activities are not accredited by the State (System Development Corporation, 1977b).

Hence, education in the institutions varies considerably and, consequently, so does Title I. Participation in a Title I project can be described in terms of the needs assessment, selection processes, and the actual delivery of services. Diagnostic testing (either at the institution itself or in a State facility maintained especially for that purpose) is used most frequently to assess residents' needs and to select them for participation in Title I. This testing almost always assesses academic achievement, and may be supplemented by tests for special learning problems (in half the cases) or by inventories measuring IQ, attitudinal, or personality traits (in one-third of the cases.)

As required by the law, and substantiated through interviews with administrators, Title I services are offered as a supplement to those provided by the State. When documenting student receipt of services in reading and math from all sources, however, it was found that Title I students actually receive fewer hours of instruction in these two areas than do non-Title I students. This is due to both institutional and individual reasons: (1) institutions often view their Title I classes more as electives or extras and cancel them more often (for field trips or whatever) than they cancel non-Title I classes and (2) Title I students schedule other activities such as visits to the nurse or meetings with their lawyers at the time they are supposed to be in Title I, or they have a worse attendance record due to sickness or being in lock-up. The results is that Title I students, on the average, received as much as an hour less of reading instruction each week than non-Title I students. On the average, Title I students were receiving about 70% of what was being offered. This problem--of Title I often not being completely implemented as designed --was pursued further in an in-depth study in nine institutions and will receive special attention as Federal policy-makers formulate steps to improve the program.

Instructional staff in Title I projects also were described in the study. They tend to be better educated than other teachers in the institutional settings: that is, whereas almost all the Title I teachers have earned at least a bachelor's degree, this is less common among the non-Title I teachers (of whom a little over 10% have no college degree). Also, nearly 2/5 of all Title I teachers have done graduate work. Their teaching experience is comparable to that of other teachers in institutions: about 3-4 years in both correctional and non-correctional settings.

Many educators in these institutions have noted the problems of students returning to local public schools after release from a corrections facility. A study by the General Accounting Office in 1977 confirmed these reports, especially for the older students. As part of the national evaluation, the status of over 600 students was documented between 3 and 6 months after their release from an institution. It was learned that 3/4 of them had returned to their parents' homes, 1/2 to school. Of those returning to school, however, 80% had dropped out by the time of the contact, citing their poor performance level, the public school's more rigid scheduling, and their problems associated with arriving at mid-term.

In 1978, Congress added Section 153 to Title I authorizing grants to State and local educational agencies to "facilitate the transition of children from State-operated institutions for neglected or delinquent children into locally operated programs." Up to 5% of the funds authorized for the Part B programs in these State institutions is authorized for these Section 153 grants. The appropriation for the Transitional Service Program was $900,000 in FY 1981 and $864,000 for FY 1982.

Program Effectiveness and Progress:

The addition of this program to Title I in 1966 represented the first Federal effort to improve the educational experiences of children in institutions for the neglected or delinquent. The impacts of such an effort are varied, of course. Teachers and educational administrators note a positive change in many facilities in that education programs gained importance and legitimacy. They also describe improvements attributed to the establishment, through the advent of a national educational program, of an informal network of educators with problems and concerns in common.

It is important, of course, to examine the effects of the instructional services on students' skills. Data collected in the school year 77-78 in 40 sites included test scores on specially constructed, focused instruments in reading and mathematics (used four times at six week intervals), a nationally standardized norm-referenced test (given once), and measures of self-concept (administered twice). About 1500-1700 students -- Title I and non-Title I -- were tested each time. Highlights of this evaluation were as follows:

- There was not much change over the repeated testings in either reading or math: Title I students usually got about 60% of the items correct while the non-Title I students scored higher, on the average, getting about 75% of the items correct. It is important to emphasize that because the two groups differ, a strict comparison in their improvement over time in order to assess Title I is not appropriate. Rather, one must adjust, as possible, for their differences at the beginning and still interpret the results (comparing adjusted scores) with caution. Even given such adjustments, the Title I services did not appear to improve student improvement over and above that expected due merely to a regular institutional education program. (One must also recall from the previous pages that in many cases Title I scheduling problems for the institutions or students themselves prevented their receiving as much instruction in the basic skills as their non-Title I peers; hence, a finding of no extra growth makes some sense.)

- On the nationally standardized test, Title I students (most of whom are 14-16 years old) scored, on the average, at about the same level as average fourth graders (modal age of nine years old) in public schools; non-Title I students also performed well-below their age level, scoring about the same as average fifth-graders (System Development Corporation, 1979.)

It is important to note that these are overall, national summary statements. An in-depth study of practices in the effective institutions (as well as in some ineffective sites chosen for contrast) offered some insight into factors leading to or impeding student growth in the basic skills (which was correlated with an improvement in student attitude). The primary findings were that:

- Student gains in basic skills achievement were positively correlated with the amount of time they were exposed to instruction and even more highly with the amount of time they were "task engaged" in the classroom;

- Such task-engagement was highest when teachers spent more time in direct instruction and feedback;

- Over one-half of the time scheduled for instruction was consumed by non-instructional activities such as institutional assignments and attention in the classrom, and classroom practices themselves (e.g., smoking breaks, clean-up activities, and discipline); and

- The use of audio-visual and programmed learning materials of the served as ways for teachers to become disengaged from direct instructional activities and were found to be negatively correlated to student gains.

Details of the fundings are being reviewed, including a review of ideas developed for institutions to use when evaluating their programs. A committee comprised of federal, State, and Title I Technical Assistance Center personnel is specifically addressing this issue and will be producing a handbook of evaluation information for State neglected or delinquent programs. The handbook is scheduled to be completed in the fall of 1982.

Ongoing and Planned Evaluation Studies:

No additional studies are planned at least until after the next reauthorization.

Source of Evaluation Data:

Current

Federal Register, "Grants to State Agencies for Programs to Meet the Special Educational Needs of Children in Institutions for Neglected Children," Volume 43, Number 65, Tuesday, April 4, 1978, pp. 14292-14296.

General Accounting Office, "Re-evaluation Needed of Educational Assistance for Institutionalized Neglected Children," "Report to Congress by the Comptroller General of the United States, December 19, 1977.

National Center for Education Statistics, "The Condition of Education", Volume 3, Part I, 1977.

System Development Corporation, "Compensatory Education and Confined Youth: A National Evaluation of Title I Programs in State Institutions for Neglected or Delinquent Youth." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1977.

System Development Corporation, "Compensatory Education and Confined Youth: A National Evaluation of Title I Programs in State Institutions for Neglected or Delinquent Youth." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1979.

System Development Corporation, "Post-Release Experience of Students From State Correctional Institutions." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1979.

System Development Corporation, "Compensatory Education and Confined Youth: A Final Report." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1980.

System Development Corporation, "The Substudy of Effective Practices." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1980.

Other

System Development Corporation, "National Evaluation of Title I Progess for Neglected or Delinquent Youth in State Institutions," Interim Reports for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1977.

System Development Corporation, "Handbook for Evaluation of Title I Program in State Institutions for Neglected or Delinquent Youth." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1978.

System Development Corporation, "National Evaluation, Phase II," Report for Contract 300-76-0093, Santa Monica, CA, 1979

For further information about program operations,

Contact: Mr. Pat Mancini
(202) 245-2688

For further information about program effectiveness,

Contact: Dr. Judith Anderson
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Basic Skills Improvement Program
(CFDA No. 84.105)

Legislation:

Elementary and Secondary Education
Act of 1965, Title II, as amended
by Public Law 95-561

Expiration Date:

FY 1983

FUNDING HISTORY:	YEAR	AUTHORIZATION	APPROPRIATION
Right-to-Read	1971	$ Indefinite	$ 2,000,000
"	1972	Indefinite	12,000,000
"	1973	Indefinite	12,000,000
"	1974	Indefinite	12,000,000
"	1975	Indefinite	12,000,000
"	1976	118,800,000	23,800,000
"	1977	139,200,000	26,000,000
"	1978	144,200,000	27,000,000
"	1979	144,200,000	27,000,000
Basic Skills Imp.	1980	---	35,000,000
	1981	---	31,500,000
	1982	Consolidated into the ECIA	

Program Goals and Objectives:

The Basic Skills program, initiated in fiscal year 1980, expanded the focus of the National Reading Improvement program to include mathematics and written and oral communication. The authorizing legislation for Basic Skills had three components. Part A contained an authority to fund demonstrations for the improvement of instruction in the basic skills for youth and adults and provisions for technical assistance and dissemination. Part A included the use of technology in basic skills instruction. Part B contained authority for a State grant program designed to stimulate State education agencies to coordinate their resources in seeking improved ways to teach the basic skills and to provide the needed leadership to bring about these changes. Part C contained authority for special programs to improve the basic skills (the Inexpensive Book Distribution program and the Special Mathematics program). The program legislation stipulated that Part A must be funded at no more or less than $20 million before funds may be used for Part B, the focal point of the basic skills effort. As a result, any funding growth in the program must be in the State program (Part B) or the Special program (Part C).

Program Operation:

The Basic Skills Improvement Program included the following planned components:

1. Coordination activities involving Basic Skills - related programs at the Federal level.
2. Similar coordination needs for Basic Skills at State and local levels.
3. The desirable interrelationships to forge productive coordination patterns at all three levels (Federal, State, and local) and the necessary agreements that will sustain those desired patterns.
4. Conceptual and cognitive research to define and assess the potentials and limit of a National Basic Skills Improvement Program; the role of other participant factors in such programmatic efforts (communities, local agencies, parents, etc.).

The following are the specific component activities for which funding was requested under this program:

Part A (National Activities)

- Technical Assistance
- Instruction in Basic Skills
- Parental Involvement in Basic Skills
- Use of Technology in Basic Skills Instruction
- Involvement of Educational Agencies and Private Organizations
- Collection and Dissemination of Information relating to Basic Skills Programs
- Coordination

Part B (State Activities)

- Agreements with State Education Agencies (Section 222)
- State Leadership Program (Section 224)

Part C (Special Activities)

- Inexpensive Book Distribution Program
- Special Mathematics Program

Program Scope:

The FY 81 appropriation for Basic Skills Improvement was $31.5 million.

Basic Skills Programs

Part A	(Subtotal)	$17,225,000
Technical Assistance		1,360,000
Instruction in Basic Skills		6,685,000
Parental Involvement		1,050,000
Use of Technology		1,800,000
Involvement of Educational Agencies and Private Organizations		5,140,000
Collection and Dissemination of Information		1,190,000
Coordination		-0-
Part B	(Subtotal)	$ 7,750,000
State Basic Skills		7,750,000
Part C	(Subtotal)	$ 6,525,000
Inexpensive Book Distribution Program		5,850,000
Special Mathematics Program		675,000
	TOTAL	$31,500,000

Program Effectiveness and Progress:

1. Evaluability Assessment of the Title II Basic Skills Improvement Program (December 1981). This is the most recently completed study of the Basic Skills Improvement Program. Some key findings and observations were in the Program Evaluability section under Plausibility of Objectives. The report stated:

> "The crucial threat to the overall plausibility of the BSIP is the fact that the program has become a part of the Education Consolidation and Improvement Act of 1981 and will not operate for four years as planned. Parts A and B grantees had anticipated a four-year duration during which they would develop model demonstration programs and the improved coordination of basic skills programs and resources. Truncating this timeframe to two years seriously jeopardizes the program's overall success. A second limitation to success is the current level of funding, which has curtailed Part A grantee activities and limited SEAs in developiong and implementing comprehensive basic skills plans.
>
> However, BSIP will have evidence of success in several respects. There are likely to be some Part A grantees that

achieve some form of demonstration status on a national, state or local level. And there will be evidence that SEAs have improved the coordination of basic skills programs within their states. There is also likely to be evidence to suggest that the BSIP support contractor strategy has facilitated these two outcomes and has proven effective. At the same time the role and operations of the Basic Skills Steering Committee in achieving these outcomes will be viewed as minimal."

2. Evaluation of the Right-to-Read Special Emphasis Project (July 1980). The purpose of this study was to evaluate the effectiveness of seven Special Emphasis Projects. Special Emphasis Projects were to determine if the use of reading specialists, reading teachers, and intensive summer reading programs would impact on children's ability to learn to read.

Eight Special Emphasis projects were funded in 1976. Of these, six were refunded, and one new project was funded for school years 1977-78 and 1978-79. The seven Special Emphasis projects which operated in 1977-78 and 1978-79 are included in this evaluation. These projects were located in Louisiana, Michigan, Ohio, Tennessee, Texas, West Virginia, and California.

The working hypothesis of the Special Emphasis Project was that intensive programs of reading instruction introduced at an early age would effect significant improvement in patterns of reading achievement in schools having large numbers of low achieving students. The data collected and analyzed from the seven project sites for this evaluation study reveal that Special Emphasis sites themselves can be classified according to the degree to which they implemented the Special Emphasis concept program. Of the three sites with the highest implementation ratings (Louisiana, Tennessee, and Texas), two showed evidence of impact favoring Special Emphasis student groups. The data suggest that program implementation had a determining influence on program success and consequently on student performance. Of the sites achieving low implementation ratings (Michigan, Ohio, West Virginia, and California), significant differences between Special Emphasis and comparison student groups were scattered between the two student groups. Because it is questionable that Special Emphasis was in fact fully implemented at these four sites, the few instances of impact favoring Special Emphasis groups cannot be construed as evidence of program success.

In summary, those sites which (1) most closely followed the program guidelines, (2) teamed the reading specialist in the classroom with the regular classroom teacher, and (3) developed a high degree of staff participation in the program through inservice training, experienced the greatest impact on student reading scores. Practical experimental problems including the confounding influence of other programs, lack of comparability between treatment and comparison schools, and the lack of precision of the measurement instrument may mask the true efficacy of the Special Emphasis concept.

3. An Evaluation of the Right-to-Read Inexpensive Book Distribution Program (Final Report) (October 1980). The specific objectives of the study were:

(1) To determine the effectiveness of the IBDP in generating reading motivation (a psychosocial analysis).

(2) To describe the process by which books are acquired and distributed to children (a distribution analysis).

ED contracted originially for a two-phase study. Phase I was to consist of design and developmental activities (formulation of the study design, instrument design, development of the data collection plan). Phase II was to consist of data collection and reporting.

In order to meet the two study objectives, GRC implemented a two-part research program. Part One involved the investigation of the effectiveness of the IBDP in generating reading motivation. This aspect of the research required the identification of the dependent variable, reading motivation, and the independent variables which contribute to or are incorporated in the motivation to read. Independent variables include program characteristics, self-reports on attitudes and behaviors, observations of teachers and parents, and demographic variables. Part Two was an investigation of the IBDP process--a descriptive assessment of the design, management, and administration of the IBDP in terms of program objectives and efficiency.

Funds for the project were nearly exhausted prior to the activation of the second stage of data collection. The final report did not reflect the planned pre-and post-analysis which had been designed to generate information about chidlren's attitudes, expectations, peer influences, family reading patterns/expectations/influences, and community and school influences. The final report is a descriptive account of the structure of the reading motivation plan and its field activities.

Curtailed funding also reduced the scope of the distribution analysis resulting in the deletion of the booksuppliers survey. The RIF headquarters survey and the sponsors' surveys were in the final report.

4. BSIP in cooperation with the Office of Planning and Evaluation had awarded a contract to perform the following:

(1) Develop a descriptive model of Part A projects which include in-school, out-of-school and parent participation programs. Data gathered will be analyzed to determine whether or not the Basic Skills Program is meeting legislated goals.

(2) Develop a predictive model of success and plan to apply it to about 25 Part A projects. Data gathered under this model will be analyzed to determine which components of a project contribute to project success.

(3) Field visit seven selected sites as representative case studies.

Due to the Program consolidation this study was terminated before its conclusion.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation:

1. Evaluation of School-Based Right-to-Read Sites, Contemporary Research, Inc., Los Angeles, CA, October 1973.

2. Evaluation of Sampled Community-Based Right-to-Read Projects, Pacific Training and Technical Assistance Corporation, Berkeley, CA, September 1974.

3. Assessment of the State Agency Component of Right-to-Read, Applied Management Sciences, Silver Spring, MD, June 1976.

4. Final Report, Evaluation of the Right-to-Read Special Emphasis Projects, General Research Corporation, McLean, VA, July 1980.

5. Final Report, An Evaluation of the Right-to-Read Inexpensive Book Distribution Program, General Research Corporation, McLean, VA, October 1980.

6. Evaluability Assessment of the Title II Basic Skills Improvement Program, The American Institutes for Research, Palo Alto, CA, December 1981.

For further information about program operations,

Contact: Dexter Magers
(202) 245-8242

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Diffusion Network Program
(CFDA No. 84.073)

Legislation:

Section 583 of the Education Consolidation and Improvement Act of 1981, P.L. 97-35, Chapter 2, Subchapter D, Secretary's Discretionary Funds.

Expiration Date:

June 30, 1987

Funding History:	Year	Authorization	Appropriation
	1974	1/	$ 9,100,000
	1975	1/	8,400,000
	1976	1/	-0-
	1977	2/	10,000,000
	1978	2/	10,000,000
	1979	3/	14,000,000
	1980	3/	10,000,000
	1981	3/	8,750,000
	1982	4/	10,020,000
	1983	4/	

1/ This program is composed of a number of activities which were initiated under various authorities with different appropriations. Thus, the National Diffusion Network was established in 1974 under the authority of ESEA, Title III Section 306 and was funded at $9.1 million. In 1975, the Packaging and Field Testing Program under the Cooperative Research Act, P.L. 531, 83rd Congress was funded at $1.4 million while the National Diffusion Network still authorized by ESEA Title III received $8.4 million. In 1976, both activities were under the authority of the Special Projects Act of P.L. 93-380 without a separate authorization. No funds were appropriated for the National Diffusion Network in 1976 while the Packaging activity was funded at $1.4 million.

2/ In 1977, both activities were combined into the same program. In 1977 and 1978, the National Diffusion Network was under the authority of the Special Projects Act, P.L. 93-380, and the General Education Provisions Act, Section 442(a), with no separate authorization level.

3/ In 1979, this program was renamed the National Diffusion Program. In 1979 through 1981, it was under the authority of Title III of P.L. 95-561, Section 303, and the General Educational Provisions Act, Section 442(a) with no separate authorization level.

4/ Beginning in FY 1982, the program is authorized under the Secretary's Discretionary Funds provided for in Chapter 2 of the Education Consolidation and Improvement Act. The Secretary is authorized to reserve up to six percent of the sums appropriated for Chapter 2 for discretionary activities. The amount authorized in FY 1983 for Chapter 2 is $589,368,000.

Program Goals and Objectives:

The Secretary's Discretionary Funds (under P.L. 97-35, Chapter 2, Subchapter D) support Federal-level activities that complement State and local efforts to improve the quality of education for children in public and private schools. Authorized activities include:

- Gathering and disseminating information on the effectiveness of programs designed to meet the special educational needs of educationally deprived children and others served by programs under the Education Consolidation and Improvement Act.
- Assessing the needs of children served.
- Programs and projects funded by the National Diffusion Network.
- Research and demonstration.
- Education personnel training.
- Assistance to States and local educational agencies in program implementation.
- Special priorities:
  - Inexpensive Book Distribution
  - Arts in Education
  - Alcohol and Drug Abuse Education

To implement the Secretary's Discretionary Fund projects, grants and contracts may be awarded to State and local education agencies, institutions of higher education and other public and private agencies, organizations and institutions.

Discretionary projects supported under the Secretary's Discretionary Funds provide limited but essential support for activities at the elementary and secondary education level that address national, rather than State or local concerns.

The National Diffusion Network (NDN) is a discretionary activity. Its purpose is to improve the quality of education by promoting the widespread dissemination and use of exemplary education practices and projects which have been certified as effective by the Education Department's Joint Dissemination Review Panel (JDRP), a panel that reviews individual claims of effectiveness of educational materials, practices, and projects prior to endorsement for nationwide dissemination.

The major objective of the program is to disseminate exemplary (i.e., JDRP approved) educational practices and projects to interested school districts and to assist education agencies in implementing the exemplary practices through the provision of materials, personnel training, and other supportive services. The NDN accomplishes this objective through a school improvement process which: (1) identifies programs that work; (2) transports the programs across state lines; (3) brings them to the attention of educators who are interested in improving their educational programs; (4) provides schools with several equally effective programs from which to choose and (5) provides training and follow-up technical assistance for those who decide to install a particular program.

Program Operations:

This program makes educators aware of exemplary projects, and provides personal assistance in the selection and implementation of such projects in new communities. Grants are awarded to developers of proven educational programs (called Developer-Demonstrators) to provide materials, training and assistance to school districts that want to adopt their projects. Other grantees (called State Facilitators) are also funded as dissemination agents to make school districts in their States aware of alternative exemplary approaches and to help interested districts identify and obtain assistance from project developers in implementing a project to meet specific local needs. The NDN disseminates selected projects approved by the Joint Dissemination Review Panel. Approval by the Panel means that Panel members have examined objective evidence of effectiveness submitted by the developer of the program and are convinced that the program has met its stated objectives at the original demonstration site. In addition, the program developer has demonstrated the likelihood that the program will meet the educational needs of others in similar locations.

The NDN also funds technical assistance contracts which provide assistance to members of the NDN (State Facilitators and Developer Demonstrators) and to others, such as the developers of programs that show promise of becoming members of the NDN. The contractors conduct workshops, provide evaluation assistance, develop strategies for special subgroups, develop materials, assist in the identification of promising programs which are candidates for filling gaps in the NDN, and provide other types of training assistance to those managing and conducting dissemination activities.

In the past, Program funds supported dissemination-related evaluations and studies. Through competitive procurement procedures contracts have been awarded for studies that examine various activities and aspects of the dissemination, project implementation, and school improvement processes to learn from, improve upon, and provide alternatives to current Program strategies. The last study was initiated in 1978 and will be completed this year--"A Study of Dissemination Efforts Supporting School Improvement."

Program Scope:

Appropriations for the NDN have ranged from $9.1 million in FY 1974 to $14 million in 1979 to $8.75 million in 1981. In FY 1982, 99 exemplary Developer Demonstrator projects were funded. Facilitator projects were supported in 50 States, the District of Columbia, Puerto Rico, and the Virgin Islands. Technical assistance contracts provided materials, training and support services to NDN grantees, conducted a nationwide search for promising programs in content areas such as science, writing, mathematics, languages, and educational technology, provided expert assistance in the design, implementation, and analysis of evaluation of such programs so that they could be approved by the Department's Joint Dissemination Review Panel and become eligible for NDN funding.

FY 1982 RESOURCE ALLOCATION

ACTIVITY	AWARDS	OBLIGATION	AVERAGE AWARD
1. National Diffusion Network		$10,020,000	
State Facilitators	55 [5]		$ 76,590
Developer-Demonstrators	99		45,110
2. Technical Assistance			NA

A total of 99 projects are being disseminated by the NDN. About 99 percent of the programs funded by the NDN were developed by local school districts. Thirty percent of the programs are in the basic skills, about 90 percent are in academic areas and less than 10 percent are in non-academic areas.

Program Effectiveness and Progress:

Earlier studies as well as recent evidence indicate that the National Diffusion Network Program has been successful in causing many school districts to attempt implementation of exemplary education practices and that there is substantial educator interest in the types of services being provided by the Program. The demand for NDN services continues to be great; in 1982 over 10,300 local sites initiated implementation of NDN's exemplary projects. Many of these are reasonably faithful implementations of the original projects, although some adaptation to local conditions have typically been necessary. From year to year an increasing number of Developer Demonstrators have been collecting impact data at adoption sites. There is considerable evidence that such adoptions have resulted in improved student learning in new communities. In addition, most participating teachers report increased student achievement as a major benefit of implementing an NDN project. There appears to be considerable satisfaction with the adopted projects and with the services provided by the NDN. Finally, managers of other ED supported programs report substantial benefit from their association or partnership with the NDN. Each of these issues is discussed in greater detail in the following paragraphs.

Spread of Exemplary Projects:

Based upon figures compiled from funded NDN projects it is estimated that 10,300 schools have adopted and are implementing exemplary projects. More than 87,000 educators have received training to implement NDN projects and approximately two and one-half million students have been served by the projects adopted in new sites.

---

[5] Serving 50 states, the District of Columbia, Puerto Rico, and the Virgin Islands.

Fidelity of Project Implementation:

An earlier NDN evaluation (Emrick, 1977) reported that projects being implemented via the NDN were reasonably faithful to developer specifications. Similarly, interim results from a current study (Crandall, 1980) have shown that NDN project adopters are implementing the new practices with considerable fidelity.

User Satisfaction:

Results from studies conducted over the last four years (Emrick, 1977; Stearns, 1977; Campeau, 1978; and Crandall, 1980) indicate that user satisfaction with the services and materials provided by the NDN and with the projects adopted continue to be high. In addition, the most recent study of NDN (Crandall, 1980) indicates that teachers in schools implementing NDN projects report some kind of student benefit -- the majority report improved levels of student achievement.

Effectiveness:

For some time NDN participants and program managers have agreed that the educational outcomes of projects implemented through the efforts of this Program is an area that needs to be examined. Accordingly, evaluation activities have received increasing emphasis in the NDN. A formative evaluation system was implemented in 1981 to provide NDN participants with resources and procedures to assess their dissemination and assistance rendering activities.

Influence on other ED Supported School Improvement Efforts:

Program strategies and activities have continued to evolve and improve over the life of this program due to results of specific evaluations and experiences with other ED-supported programs. At the same time other ED programs have benefitted from their association with the NDN. In particular, recent reports (Shive, 1980, and McDonnell and McLaughlin, 1980) have underscored the benefits experienced by the Follow Through and ESEA IV-C programs. In the case of the Follow Through program, the NDN has significantly influenced the Follow Through Resource Centers. Centers have modeled themselves after NDN Developers/Demonstrators and use the NDN as the principle means of access to adopter districts. Moreover, the greater the Resources Centers involvement with the NDN, the greater their progress in carrying out expanded demonstration activities (Shive, 1980).

Similarly, an effective partnership between ESEA IV-C and the NDN has been noted in a recent study. More specifically, State and local IV-C staff saw the services of the NDN state faciltator as a critical element in IV-C program effectiveness. State facilitators were able to explain local needs or problems, suggest relevant projects, assist in preparing IV-C adoption proposals and provide implementation assistance. This role was found to be one that even the best-intentioned or best staffed SEA can rarely fulfill because of its concomitant monitoring responsibilities, geographic distance, and staff workload (McDonnel and McLaughlin, 1980).

Current Analytic Activities:

Study of Dissemination Efforts Supporting School Improvement.

The purpose of this study is to examine the process of school improvement and the dissemination strategies at the Federal, State and local levels in order to determine what effects Federal and State dissemination activities play in the process and to determine ways in which dissemination or school improvement activities should be conducted in the future. The study is being conducted by the NETWORK of Andover, Massachusetts. To date, this study (1) produced a report entitled, "A Policy Study of Resource Centers for the Division of Follow Through Programs," which was used to determine future funding and operational policies regarding Follow Through's Resource Centers; (2) developed and distributed a formative evaluation guidebook for use by NDN funded disseminators and trained all NDN grantees in its use; and (3) produced a report entitled, "Preliminary Description of Selected Dissemination Activities in the Eduation Division of DHEW," which was used to provide data to aid the work of the Education Department's Transition Team. (Projected completion date: Fall 1982.)

Source of Evaluation Data:

Current

Crandall, D. P., C. L. Thompson, and J. A. Taylor, The National Diffusion Network: A Special Report. Andover, MA: The NETWORK, Inc., November, 1980.

Hearings from the Subcommitee on Appropriation, House of Representatives, 97th Congress, First Session, Part 6. Department of Education, pp. 909-954.

McDonnel, L. M., and M. W. McLaughlin, Program Consolidation and the State Role in ESEA Title IV. Santa Monica, CA: The Rand Corporation, April, 1980.

Shive, G., et al., A Policy Study of Resource Centers for the Division of Follow Through, Andover, MA: The NETWORK, Inc. 1980.

Other

Berman, P., and M. W. McLaughlin, et al., Federal Program Supporting Educational Change. Volume 1-7, Santa Monica, CA: The Rand Corporation, 1975 and 1977.

Campeau, P. L. Packaging as a Strategy for Improving the Process of Diffusing Educational Projects. Paper presented as the annual meeting of the American Education Research Association, New York City, April 4-8, 1977.

Campeau, P. L., et al., Final Report: Evaluation of Project Information Package Dissemination and Implementation. Palo Alto, CA: American Institutes for Research, January, 1979.

Emrick, J. A., Evaluation of the National Diffusion Network, Vols. 1 and 2, Menlo Park, CA: Stanford Research Instituue, 1977.
and 2, Menlo Park, CA: Stanford Research Institute, 1977.

Foat, C. M., Selecting Exemplary Compensatory Education Projects for Dissemination via Project Information Packages, Technical Report UR-242, Mountain View, CA: RMC Research Corporation, 1974.

Harris, S. L., et al., Preparing for Dissemination: A Study of Technical Assistance for Developer-Demonstrator Project in the NDN, Andover, MA: The NETWORK, Inc., 1979.

Horst, D. P., et al., An Evaluation of Project Information Packages as Used for the Diffusion of Bilingual Projects. Mountain View, CA: RMC Research Corporation, 1980.

Horst, D. P., A. M. Piestrup, C. M. Foat, and J. L. Binkley, Evaluation Recommendations for Revisions. Mountain View, CA: RMC Research Croporation, 1975.

Kennedy, M. M., R. Apling, and W. F. Neumann, The Role of Evaluation and Test Information in Public Schools. Cambridge, MA: Huron Institute, August, 1980.

Kennedy, M. M., W. F. Neumann, and R. Appling, The Role of Evaluation and Testing Information-in-Title I Programs. Cambridge, MA: Huron Institute, September, 1980.

Norwood, C. H., Evaluation of Field Test of Project Information Packages Volume II Technical Report. Menlo Park, CA: Stanford Research Institute, 1977.

Piestrup, A. M., Design Considerations for Packaging Effective Approaches in Compensatory Education, Technical Report UR-241, Mountain View, CA: RMC Research Corporation, 1974.

Stearns, M. S., Evaluation of the Field Test of Project Information Packages: Volume I-Summary Report. Menlo Park, CA: Stanford Research Institute, 1977.

Stearns, M. S., Evaluation of the Field Test of Project Information Packages: Volume I-Viability of Packaging. Menlo Park, CA: Stanford Research Corporation, 1975.

Tallmadge, G. K., The Development of Project Information Packages for Effective Approaches in Compensatory Education. Technical Report UR-254, Mountain View, CA: RMC Research Corporation, 1974.

For further information about program operations,

Contact: Lee Wickline
(202) 653-7000

For further information about studies,

Contact: Ann Weinheimer
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Cities In Schools Program (CFDA No. 84.139)

Legislation:	Expiration Date:
Elementary and Secondary Education Act, Title III, Part A, Section 303	September 30, 1982

Funding History:

Year	Authorization	Appropriation
1978	$2,336,853	$ 2,336,853
1979	2,185,500	2,185,500
1980	2,850,000	2,850,000
1981	2,745,000	2,745,000
1982	25,000,000 1/	2/

Program Goals and Objectives:

This program supported projects in urban areas to demonstrate how coordinating the delivery of educational and human services to students and their families can help to remove barriers to high school graduation.

Program Operations:

Through FY 1981, this program made discretionary awards through a multi-contractual arrangement among cities, public agencies, and nonprofit organizations. Projects received multiple funding from Federal and local governments and the private sector. Any city was eligible for funding if it had a population greater than 100,000 and could document:

-- private sector investment of at least $75,000;

1/ This amount is the total authorization for Section 303 of the Elementary and Secondary Act of 1965.

2/ The program was consolidated into the block grant authority under Chapter 2 of the Education Consolidation and Improvement Act of 1981. No individual dollar amount was specified for cities in schools purposes under the block grant.

-- that 50 percent of the students to be served came from families with taxable incomes not exceeding the low income classification of families set forth in the "Current Population Report," Bureau of the Census.

-- local public investment of at least $50,000;

-- interagency cooperation among at least three separate organizations, such as a local educational agency, a city government, a community-based organization, or a private nonprofit organization.

Program Scope:

The federal grant supported projects in Houston, Oakland and Washington, D.C., Atlanta, Indianapolis, and New York City. Twenty seven percent of the funding comes from the private sector.

Program Effectiveness and Progress:

The American Institutes for Research (AIR) conducted a national evaluation of the Cities in Schools Program (CIS) over a four year period. Total cost of the study was $964,000.

Findings reported in the AIR evaluation included the following:

-- At its best, the student's relationship with the program caseworker was a close, confidential, supportive one, often the only such relationship with an adult.

-- Even when the relationships were more superficial, the small caseload and caseworker's location in the school facilitated knowledge of the student that very few teachers could match and an availability to help that centrally located service workers could not match.

-- Cities in Schools demonstrated that the school location and daily presence can facilitate screenings for service needs (e.g., medical examinations, checks on basic welfare needs) that would not have occurred otherwise.

-- Through its programmatic activities, Cities in Schools provided opportunities for social and cultural developmental experiences that would not have occurred otherwise.

In terms of the impact that the program hoped to see -- that is, improved attendance, improved academic performance, and in the long run, an improved chance to make it as an adult, AIR reported that its data permitted it to say very little.

The evaluation concluded that CIS demonstrated feasibility and that some straightforward changes in staffing and management could be expected to increase their consistency and intensity across all participating students. The evaluation further stated that an "intercity school that works" will include as part of its resources something very like CIS, and that the most economical way to reach that goal is to build on the start that CIS has made.

Current Analytic Activities:

Other than the above, none.

Sources of Evaluation Data:

Program records.

The National Evaluation of the Cities in Schools Program. American Institute for Research, Thomas Jefferson Street, N.W., Washington, D.C., 1981.

For further information about program operations,

Contact: Kathlyn Moses
(202) 245-8275

For further information about program effectiveness,

Contact: Norman Gold
(202) 254-6271
or
Rhonda Lewis
(202) 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Push for Excellence Project (CFDA No. 84.140)

Legislation:	Expiration Date:
Elementary and Secondary Education Act, 1978 Amendments, Title III, Part A,	September 30, 1982

Funding History:	Year	Authorization	Appropriation
	1978	$ 445,000	$ 445,000
	1979	1,000,000	1,000,000
	1980	1,000,000	1,000,000
	1981	825,000	825,000
	1982	25,000,000 1/	2/

Program Goals and Objectives:

The purpose of this program was to bring about a change in attitude toward school and education by students in urban areas. Each project was designed to mobilize all resources within a community, for a coordinated effort to improve the school environment, create vocational and academic opportunities for students, motivate achievement, and instill personal responsibility. Program objectives include improving school attendance, decreasing dropout rates, reducing vandalism and physical assaults by students on each other and on faculty, and improving basic skills. In addition, the program encouraged active parental support of students' achievement efforts.

Program Operations:

This program awarded grants to Push for Excellence, Inc., and to several local educational agencies that worked with Push for Excellence, Inc., to stimulate excellence in education by coordinating the efforts and resources within a community--parents, students, educators, clergymen, business, and the media. Projects were intended to serve as

---

1/ This amount is the total authorization for Section 303 of the Elementary and Secondary Act of 1965.

2/ The program was consolidated into the block grant authority under Chapter 2 of the Education Consolidation and Improvement Act of 1981. No individual dollar amount was specified for the Cities in Schools purposes under the block grant.

demonstration models for replication in other major cities throughout the Nation. The program relied upon strong parental and community involvement in carrying out its objectives. The national office of Push for Excellence Inc., located in Chicago was also responsible for training and technical assistance and disseminating information,

Program Scope:

The Push for Excellence program was started in December 1975 in 18 high schools in Chicago, Buffalo, Denver, Chattanooga, and Kansas City. In 1978, the Department of Health, Education and Welfare announced plans for support of a three-year demonstration of Push for Excellence September 1979 marked the start of the first full year of Federal funding for the three prototype sites -- Chicago, Kansas City, and Los Angeles. In 1980, expansion sites were established in Denver, Chattanooga, and Buffalo.

The criteria for direct funding were local education support, a strong advisory council, and strong private sector support.

Program Effectiveness and Progress:

The National Evaluation of the Push for Excellence Project began in February 1979, concurrently with the program's initial grant. The study was conducted by the American Institutes for Research (AIR). The first two technical reports of the national evaluation cited the following early accomplishments:

-- Local communities were energized to tackle the problems facing their schools. The evidence was in the large turnouts for the program's start-up activities and the resources donated by churches, businesses, and individual citizens.

-- Recognition and approval were among high students. Teachers and parents, although they saw no immediate good, saw potential in the Push-Excellence concept.

-- New sites were organized as planned. School and site advisory councils were established and initiated activities based on the schools and their neighborhoods.

-- Program activities, which depend on voluntary participation engaged students and, less frequently, parents teachers, and community members.

The report also cited the following start-up problems:

-- The guidelines provided by the national office were insufficient for local program development and operation. They did not link program activities to the expectations for program impact.

-- Mechanisms for identifying problems and adjustments were lacking. Technical assistance from the national office was virtually nil.

-- Roles were ambiguous and communications channels snarled. Turnover among senior staff, locally and nationally, was a chronic problem.

The concerns hinged on the need for a systematic approach to program development.

The final report of the evaluation concluded that

-- As a federally funded demonstration:

> the mechanism to get results ... (known as the) "total involvement" approach was never fully translated into an agenda for a program. The sites were left largely to their own devices, and they responded by developing activities that seemed to them to be useful and appropriate and consistent with their understanding of what Push for Excellence was all about;
>
> the total involvement concept relied on parental involvement that the movement had to inspire, not an existing involvement that the program could tap. Parental willingness to involve themselves in their children's education was extremely low at certain sites.

-- As a "movement":

> the Push for Excellence gave to local implementors a set of activities: the pledge, voter registration for seniors, and report card pickups. It also gave an effective formula for generating local interest--the mass rally, press conferences, and petition campaigns... Push for Excellence, the movement, also created problems for the program it spawned ...the diversion of national staff from development of programs to creation of new local initiatives, conflicts over terms of contracts that the staff negotiated with local sites and lack of follow-up after local interest had been mobilized.

Current Analytic Activities:

None

Sources of Evaluation Data:

1. Program records.

2. The National Evaluation of the Push for Excellence Project: Report 3: The Program, the School and the Students. Washington, D.C.: American Institutes for Research, April, 1981.

3. The National Evaluation of the Push for Excellence Project: Final Report. Washington, D.C.: American Institutes for Research, March, 1982.

For further information about programs operations,

Contact: Kathlyn Moses
(202) 245-8275

For further information about studies of program effectiveness,

Contact: Rhonda Lewis
(202) 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Improvement in Local Educational Practice (CFDA No. 84.089)

Legislation:	**Expiration Date:**
Elementary and Secondary Education Act, Title IV, Part C	September 30, 1982

Funding History:	**Year:**	**Authorization:**	**Appropriation:** [1]
	1976	$350,000,000	$172,888,000 [2]
	1977	Indefinite	184,521,852
	1978	"	194,400,000
	1979	"	197,400,000
	1980	"	197,400,000
	1981	"	66,130,000
	1982	66,130,000	-0- [3]

Program Goals and Objectives:

ESEA Title IV, Part C was a State formula grant program designed to improve local educational practices through the following kinds of activities: (1) programs for children with special needs (e.g., educationally deprived, gifted and talented, and handicapped), for school districts with high rates of children who do not complete secondary schools, and for children who attend private schools and in need of improved educational services; (2) demonstrating improved programs for educationally deprived children in areas with high concentration of low-income families; (3) improving basic skills; (4) encouraging the participation of parents in the education of their children; (5) diagnosing learning problems, and assessing children's educational achievement; (6) improving school management and the coordination of Federal, State, and local resources; (7) professional development programs for teachers, administrators, and other instructional personnel; (8) pre-kindergarten and family education programs related to identifying potential barriers to learning, educating parents in child development, home based programs, and referral services; (9) use of community resources, such as museums, businesses, labor organizations, in the educational process; and (10) compensatory education programs.

---

[1] Program was advanced funded from prior year's appropriation. Funds appropriated in a given year were allocated to the States in July of that year.

[2] From 1976 through 1980, Title IV-C program funds shown here include funds for Title V purposes: strengthening state and local educational agencies. For each year, $51 million of the total was used for Title V purposes.

[3] This activity was incorporated into Chapter 2 of the Education Consolidation and Improvement Act of 1981 and no dollar amount was specified.

This program became part of the block grant (Chapter 2 of the Education Consolidation and Improvement Act) as of Fiscal Year 1982.

Program Operations:

From the total amount available for Title IV, Part C, the Secretary of Education alloted to each State an amount proportionate to the number of children age 5-17 in the State, as compared with total number of children in all the States. (The term "State" as used here included the District of Columbia and the Commonwealth of Puerto Rico.) Up to one percent of the amount available under Title IV, Part C, was reserved for Guam, American Samoa, the Virgin Islands, Trust Territory, Northern Mariana Islands, for schools operated for Indian children by the Department of the Interior, and for children in the overseas dependents schools.

In order to receive a grant, a State was required to submit, or have on file with the Secretary, a general application, and a State plan that described the purposes for which the funds would be spent. The general application included assurances that the State would use proper methods of administering the Title IV program in such areas as monitoring, technical assistance, coordination, dissemination, and evaluation. The general application remained in effect for the duration of the State Title IV, Part C, program.

The State plan must have included: any priorities in Part C program purposes or activities the State Education Agency intended to implement; the application review process and criteria for funds distribution; assurance that it will meeet the requirements pertaining to equitable participation of pupils and teachers in private schools; a plan to coordinate Federal and State funds for perservice and inservice education of educational personnel in the State, the activities of the State Advisory Council to carry out its advisory, evaluation, and reporting functions, staffing and administration of the Part C program; and the means by which technical assistance would be provided to LEAs. The State plan had to be submitted to the Office of the Governor and the State Advisory Council had to publish and circulate throughout the State 60 days prior to being submittted to the U.S. Depatment of Education (ED) in order that comments on the plan could be obtained. The State plan only needed to be submitted only once every three years.

To receive a subgrant, an LEA had to submit a general application, and a project application that described the purpose for which the funds would be spent. Subject to the availability of funds, an SEA could make a commitment to an LEA to fund a multi-year Part C project, but not for more than five fiscal years, excluding the period during which the LEA received a planning grant.

In applying for funds, LEAs had to consider children and teachers in nonpublic schools in their districts on the same basis as children in public schools. LEAs had to: (1) consult with appropriate representatives of the children enrolled in the private schools within its boundaries during all phases of the development and design of project; (2) ensure equitable participation by children in private schools who had the same needs and were in the same attendance area, or age or grade group as public school children participation in the project; (3) provide benefits to private school children that were different from those for public school children if the differences were necessary to meet their needs; and (4) spend the same average amount of Title IV funds on a private school child as a public school participant unless the costs of meeting the needs of nonpublic school children were different from the costs of meeting the needs of public school children.

In monitoring the operation of Title IV in the States, Department of Education teams conducted reviews of State administration of the program. These reviews were designed to go beyond compliance checks to determine progress in remedying shortcomings disclosed in prior reviews. The schedule for the ED reviews included time for the team members to visit and observe LEA projects and to discuss with LEA and project personnel the nature and quality of services rendered by the SEA under Title IV. One of the goals in this process was to improve the ability of SEAs to promote the adoption of successful, validated IV-C projects.

Program Scope:

Of the total 1981 appropriation of $66.13 million, approximately $63 million was budgeted as "pass-through" funds to be distributed by the State agencies to local education agencies on a competitive basis for the 1981-82 program year. The remainder, $3 million, was used for program administration and activities to strengthen assistance services to local education agencies.

Program Effectiveness and Progress

A major study to examine the effects of the consolidation was completed in 1980 by the Rand Corporation and the findings were reported in detail in the 1980 Annual Evaluation Report. Briefly, the study found that:

- Title IV was a popular, well-run program that received praise from State and local program staff for its flexibility and ease of administration.

- Title IV did not result in a consolidated management of former categorical programs.

Mean dollar amounts per type of grant ranged from $1,000 in Pennsylvania to $42,250 in Louisiana for planning projects; from $5,757 in Montana to $118,333 in Ohio for development projects; from $2,500 in New Mexico to $103,000 in Florida for demonstration projects; from $2,078 in Nebraska to $34,310 in Texas for Adoption projects; and 832 in Washington to Kentucky for minigrant projects

The following table lists the various curriculum areas in which IV-C project funds were spent in 1980-81:

IV-C PROJECTS OPERATING DURING THE 1980-81 PROGRAM YEAR

Curriculum Area	Amount of Total Funds	Percentage of Total Project Funds	Number of Projects	Percentage of Projects
Reading	$15,556,744	14.1	839	15.2
Instructional Mode	14,718,186	13.3	658	12.0
Math	10,809,724	9.8	614	11.2
Language Arts	9,603,655	8.7	483	8.8
Social Studies	6,149,200	5.6	307	5.6
Guidance & Counseling	4,726,561	4.3	226	4.1
Arts/Music	3,378,046	3.1	187	3.4
Dropout Prevention	3,259,690	3.0	125	2.3
Career Education	3,250,021	2.9	204	3.7
Science	2,848,783	2.6	179	3.3
Vocational Education	2,014,239	1.8	92	1.7
Health	1,835,350	1.7	99	1.8
Media	1,748,102	1.6	113	2.1
Physical Education	1,690,001	1.5	144	2.6
Environmental Education	1,328,785	1.2	90	1.6
Parent Education	1,239,469	1.1	48	0.9
Community Education	848,067	0.8	23	0.4
Consumer Education	640,014	0.6	35	0.6
Nutrition	605,177	0.5	55	1.0
Other	24,006,946	21.8	980	17.7
Total	110,256,760	100.0	5,501	100.0

- States and local school districts varied in the substance, management, and quality of their IV-B and IV-C activities.

- Small IV-B and IV-C grants could induce substantial improvement in local practices.

- Title IV participation of eligible non-public school students was uneven, leaving Federal requirements for equitable participation unmet.

- Title IV reached a stage where it would be appropriate for Federal officials to concentrate less on compliance and more on substantive program development.

Little definitive information on program effectiveness was available. This was due partly to the fact that the program was such a flexible one, allowing state and local educational agencies to fund a wide variety of projects. Such variety made it difficult to establish and measure intended outcomes on a national level.

The Department collected some information from a small number States on program effectiveness (Chelemer, et al 1981). This examination of program activities indicated that Title IV-C funds supported the adoption of demonstration projects--approximately six adoptions per demonstration project. Morever 87% of the projects continued at least in part after federal funds were terminated, indicating that IV-C projects won local commitment. The report concluded that the ESEA Title IV-C program fulfilled its Congressional mandate. It supported a broad range of activities which sought to meet the needs of special populations as well as the general student population. The program was highly regarded at the State and local levels because its flexibility permitted the support of projects to address evolving educational needs.

Ongoing and Planning Studies

None

Source of Evaluation Data:

Current:

Chelemer, Carol and Amanda Clayburn. ESEA Title IV-C: A Program Profile. Report of 1980-81 program data submitted by the states tothe Division of State Educational Assistance, U.S. Department of Education, Washington, D.C.

McDonnell, Lorraine M., McLaughlin, Milbrey W. et al. Program Consolidation and the State Role in ESEA Title IV. Santa Monica, California: The Rand Corporation, 1980.

DHEW, USOE. OED. Uses of State Administered Federal Education Funds. Fiscal Years 1979 and 1978. HEW Publication No. (OE) 80-470001. Washington, D.C., 1980.

Other:

Berman, P. and M.W. McLaughlin, Federal Programs Supporting Educational Change. Santa Monica, California: The Rand Corporation, 1977.

Elmore, Richard F. and M.W. McLaughin, ESEA Title IV: Implementation Issues and Research Questions. Santa Monica, California: The Rand Corporation, 1978.

ESEA Title IV State Annual Reports.

ESEA Title IV State Program Plans.

For further information about program operations,

Contact: Edwin Battiste
(202) 245-8242

For further information about studies of program effectiveness,

Contact: Rhonda Lewis
(202) 245-8364

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Strengthening State Education Agency Management (CFDA No. 84.043)

Legislation

Elementary and Secondary Education Act,
Title V, Part B

Expiration Date

September 30, 1982

Funding History

Year	Authorization	Appropriation
1973	$90,000,000 1/	$53,000,000 2/
1974	90,000,000	48,000,000
1975	90,000,000	48,000,000
1976	50,850,000 3/	(50,850,000) 4/
1977	50,850,000	(50,850,000)
1978	50,850,000	(50,850,000)
1979	50,850,000	(50,850,000)
1980	50,850,000 5/	(50,850,000)
1981	50,850,000	42,075,000
1982	42,075,000	-0-

Program Goals and Objectives

ESEA Title V, Part B was a formula grant program designed to strengthen the educational leadership resources of State educational agencies and to assist in identifying and meeting critical educational needs of the States. Funds were provided in order to (1) develop equitable means of financing education, (2) conduct analyses of educational issues, (3) develop statewide programs to assess the educational progress of students, (4) provide

---

1/ Authorization level contained in Section 501, ESEA Title V, P.L. 91-230.

2/ Appropriation included $40,850,000 for State grants under Section 503, $10,000,000 for State grants for ESEA V, Part C, and $2,150,000 for Section 505 special projects.

3/ Authorization established in Section 403(a)(8)(C) of ESEA Title IV, P.L. 93-380.

4/ Appropriation for ESEA Title IV, Part C with set-aside for strengthening purposes and for succeeding five years authorized for this amount.

5/ Authorization level contained in Section 523(b)(1) of Title V, Part B, August 1979, P.L. 96-46 amending 95-561.

technical and consultative assistance to local educational agencies, (5) conduct workshops, conferences, and other means of communicating between educators and public, (6) disseminate information on promising educational practices, and (7) provide for professional development of staff, and (8) develop curricular materials and programs. State educational agencies were provided with wide latitude in applying funds to State priorities.

The activities authorized by this program were incorporated into the block grant program under Chapter 2 of the Education Consolidation and Improvement Act.

Program Operations

Each State desiring to participate was required to submit to the U.S. Department of Education a State plan no more than once every three years which set forth the purposes for which funds would be used. For each of the purposes the State was required to describe the educational need, the objectives to satisfy the need, and the expected benefits and accomplishments.

Program Scope

During the 1981 program year, the fifty States and the District of Columbia, Puerto Rico, Virgin Islands, Northern Mariana, American Samoa, Guam, and Trust Territories participated in the program. Funds were allocated by a formula established by authorizing legislation. Grants ranged in size from a high of $2,807,224 to California to a low of $10,119 to Northern Mariana.

The V-B program was intended to address both long-range and short-range strengthening needs of SEAs. Although SEAs have similar overall missions, the scope and range of functions being performed vary greatly from State to State. Some States placed heavy emphasis on using the funds as developmental capital for innovative programs while others used the funds for personnel.

The following list illustrates the type and nature of activities supported with V-B funds for strengthening purposes:

1. Developing major statements on educational issues for the Chief State School Officer;
2. Organizing and collecting information for modifying teacher certification standards;
3. Refining and improving the State basic educational data system;
4. Formulating policy and position statements related to Federal legislation as they affected the State;
5. Conducting physical fitness and heart disease appraisals of State agency staff;

6. Coordinating statewide needs assessment and establishing goals for adult education services;

7. Developing action plans for assistance to urban school systems;

8. Conducting compliance visitation programs in school districts to ensure minimum standards were being met;

9. Reviewing collegiate programs of preservice education in accordance with competency based teacher education guidelines;

10. Developing programs and providing consultative assistance to local districts in music and the performing arts;

11. Developing statewide tests for basic competency in reading;

12. Providing technical assistance to secondary schools in establishing remediation programs in basic skills;

13. Conducting a statewide evaluation of foreign language programs offered in public and nonpublic schools;

14. Developing handbooks for use in schools to achieve understanding of metric system for students and parents; and,

15. Preparing guidelines for school districts to improve parental involvement in education.

The purposes served by Title V-B transcended all programs, both Federal and State, by assisting State agencies in absorbing the burdens of Federal program administration and coordination activities throughout the agency.

Ongoing and Planned Studies

None

Source of Data

ESEA Title V, Part B State Annual Reports

ESEA Title V, Part B State Program Plans

For further information about program operation,

Contact: Edwin Battiste
(202) 245-8242

For further information about studies of program effectiveness,

Contact: Rhonda Lewis
(202) 245-8364

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Emergency School Aid Act (ESAA Basic Grants Program) (CFDA No. 84.056)

Legislation

Title VI of the Elementary and Secondary Education Act as amended by the Education Amendments of 1978 (P.L. 95-561)

Expiration Date:

September 30, 1982

Funding History	Year	ESAA Authorization:	Total ESAA Appropriation:	Basic Grant Appropriation:
	1973	$1,000,000,000	$228,000,000	$134,500,000
	1974	Total of $1,000,000,000 for FY 74-76	236,000,000	146,900,000
	1975		215,000,000	133,500,000
	1976		245,000,000	137,600,000
Transition Quarter			3,000,000	
	1977	Total of $1,000,000,000 for FY 77-79	257,500,000	137,600,000
	1978		300,500,000	137,600,000
	1979		300,000,000	137,600,000
	1980	422,250,000	248,571,000	107,800,000
	1981	422,250,000	149,209,000	33,400,000
	1982			[1]

Program Goals and Objectives:

In June 1972 the Emergency School Aid Act (ESAA) was enacted into law to provide financial assistance: "(1) to meet the special needs incident to the elimination of minority group segregation and discrimination among students and faculty in elementary and secondary schools; and (2) to encourage the voluntary elimination, reduction or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group students." [2] Because of the enactment of Chapter 2 of the Education Consolidation and Improvement Act, the program was repealed on October 1, 1982.

The Basic Grants Program was the largest of the ESAA subprograms. Basic Grants were available to LEAs for the purpose of meeting needs that arose from implementing a qualifying desegregation plan. An LEA could use its funds for any activity that was designed to meet an educational need that arose from a qualifying plan. A qualifying plan had to meet the requirements of section 606 of ESAA. Examples of activities specifically authorized by ESAA included staff hiring and training, the development of instructional materials and procedures, innovative educational activities, community relations activities, etc.

---

[1] Programs to assist LEAs in addressing educational problems caused by the isolation or concentration of minority group children in particular schools are authorized under Chapter 2 of the Education Consolidation and Improvement Act of 1981. No individual dollar amount is specified for these programs under the block grant.

[2] A third purpose, "to aid school children in overcoming the educational disadvantages of minority group isolation," was deleted from the Act in the Education Amendments of 1978 (P.L. 95-561).

Program Operations:

The Basic Grants Program was a program whose funds were apportioned to States according to a formula that considered the number of minority school-aged children in the State. Unused funds from any State's apportionment could be reapportioned by the Secretary either for other States or for special programs and projects under section 608(a) of ESAA.

The Office for Civil Rights determined whether each LEA had a qualifying desegregation plan and met other civil rights compliance standards specified in the Act. Basic Grants could be awarded to any LEA which: (a) was implementing a required plan or (b) had adopted and was implementing, or willing to adopt and implement, if assistance was made available, a non-required plan to reduce, eliminate or prevent minority group isolation.

Applications were made directly to the Department of Education. Within each State, LEAs were first assigned to one of three categories, depending on the recency of the desegregation plan. Within each category, applicants were ranked according to the amount of reduction in minority group isolation after the implementation of the plan.

A panel of non-Federal readers reviewed each application to determine which ones were recomended for funding. This review considered whether the proposal contained activities that addressed educational needs arising from the plan; the quality of the proposed project; and whether the plan involved, to the extent possible, the total educational resources of the community. As a result of the review process, each application was either recommended or not recommended for funding. Within a State, recommended applications were then funded in order until the State apportionment was exhausted.

This process was conducted in two cycles which allowed unsuccessful applicants to revise and resubmit their applications after the initial review. LEAs could apply for multi-year funding of Basic Grants. The criteria for receiving awards extending beyond one year were the severity and duration of need, and the nature of the proposed activities.

Funded projects were monitored by ESAA program officers. Some additional technical assistance was available from ESAA-funded Non-Profit Organizations and from desegregation centers funded under Title IV of the Civil Rights Act of 1964. Local project reporting consisted of financial reports, annual reports and a final evaluation report.

Program Scope:

For FY 81, 273 ESAA Basic awards, totaling $92,369,005, were made. Not all applicants received funding, however. Over the past four years the percent of applicants receiving funding declined from a high of 86% in FY 1977 to 53% in FY 1981. ESAA funds did not reach all districts which had desegregation plans resulting in a high degree of reduction in minority isolation. For example, sixty percent of the districts which had a relatively high reduction in minority isolation prior to 1974 never received an ESAA grant. Most of these districts did not apply for ESAA funds.

Program Effectiveness and Progress:

A descriptive study completed in 1982 of the Emergency School Aid Act (ESAA) on desegregation activities during the final two years of the program provided evidence on the characteristics of districts that received ESAA grants; how ESAA grants and grant funds were targeted on districts with desegregation-related needs, large numbers of children with higher-than-average educational costs, and with other demographic characteristics; and how the ESAA funds were used by school districts to address these needs. The study found that:

- Most districts experienced little change in racial balance from 1976 and 1980. However, the small percentage of districts with increasing racial balance received one-half of the ESAA grant funds, and were generally large, central city districts.
- Most districts had moderate or low levels of minority to white exposure. Since one-third of the districts that received ESAA grants had enrollments that were over 50 percent minority, there was relatively less opportunity for increases in minority to white exposure. Districts with low levels of minority to white exposure received most of the ESAA grant funds.
- Districts that received the largest share of the ESAA grant funds had the largest minority enrollment, the largest percentage of minority children, and a large percentage of children from families with incomes below the poverty level; and the largest enrollment.

The findings on how school districts used ESAA funds to meet their desegregation related needs are based on information from 16 case study districts. The findings are summarized below.

- Districts with recent required and nonrequired desegregation plans (i.e., plans that were either required by a court or a state or federal agency, or plans that were developed voluntarily; respectively) were most likely to use ESAA funds to meet needs directly arising from implementation of a desegregation plan. In particular, they used ESAA funds to provide services that included:

-- attractive programs in magnet or other schools affected by a desegregation plan

-- inservice training to staff and curriculum development with a multicultural focus

-- community relations to inform parents about the plan and to involve parents in the schools

-- educational activities mandated by the court (recent required plans)

o Districts with older required plans used ESAA primarily for services such as compensatory education and reduction in suspensions, abseeteeism and other discipline problems.

Effectiveness. A 1973-76 longitudinal evaluation of ESAA found evidence of program impact in improving academic achievement in the final year of the study for Basic elementary schools, although no such evidence was found at the high school level. An earlier evaluation of the Emergency School Aid Program (precursor to ESAA) also reported higher achievement scores for black male students in ESAP schools in comparison to similar students in schools with no ESAP funds.

Several studies (Crain, 1973; Forehand, 1976) reported a relationship between effective ESAA programs and the presence of human relations activities in the school. A one study (Doherty, 1980) reported that students who received ESAA-funded human relations services showed greater improvement in measures of intergroup attitudes, intergroup behavior and self-concept. These included community support for desegregation, principal and staff commitment to human relations services, the presence of human relations training programs for staff, and the existence of a parent program.

School Discipline. The Emergency School Aid Act school districts were encouraged to include a component to address disproportionate disciplinary actions against minority students in their Basic Grant application for fiscal year 1979. Disciplinary action was defined by ESAA as any action which removes a student from the regular classroom for disciplinary reasons. Of one hundred and four school districts requesting funds for such activities, 78 districts received awards.

A descriptive study (Cooney, 1981) which gathered information from fifteen school districts (target and non-target schools) with ESAA projects to reduce disproportionate disciplinary actions against minority students reported that:

o Three ESAA projects visited showed a reduction in disproportion for suspension, expulsion, and corporal punishment in target schools.

- The most successful ESAA projects operated under a central administrative structure, stated project objectives clearly and precisely, and used a planning process that included a needs assessment and participation among administrative staff, regular instructional staff and parents.
- All of the ESAA projects provided direct services such as individual counseling and tutoring to students and offered support services such as consultation and a home-school liaison to teachers and parents.

Maintenance of Effort:

ESAA regulations had maintenance of effort assurance requirements. Applicant school districts must have assured: (1) that they had not reduced their fiscal effort for public education to less than that of a specified prior fiscal year, or (2) that current expenditures per pupil from local sources were not less than that of a specified prior year. Monitoring of maintenance of effort requirements was included as part of the regular monitoring visits by ED staff.

Current Analytic Activities:

"Survey of Magnet Schools." Due 1982. (0)

This study will assess the function of magnet schools in dealing with urban educational problems of magnet schools, the resulting changes in community attitudes, the impact on desegregation, and increments in the quality of education.

Sources of Evaluation Data:

1. Acland, H. Secondary Analysis of the Emergency School Assistance Program. Santa Monica California: Rand Corporation, 1975.
2. Better Criteria Needed for Awarding Grants for School Desegregation. Washington, D.C.: General Accounting Office, 1978.
3. Cooney, S. Study of ESAA Funded Programs to Reduce Disproportionate Disciplinary Actions Against Minority Students. Annandale, Virginia: JWK International Corporation, 1981.
4. Coulson, J. Overview of the National Evaluation of the Emergency School Aid Act. Santa Monica, California: System Development Corporation, 1977.
5. Coulso[illegible] J., et al. The Third Year of Emergency School Aid Act (ESAA) Imp[illegible]tion, (6 volumes including prior year reports). Santa Monica, Calif[illegible] System Development Corporation, 1977.

6. Crain, R., et al. Southern Schools: An Evaluation of the Effects of the Emergency School Assistance Program and of School Desegregation, (2 volumes). Chicago: National Opinion Research Center, 1973.

7. Doherty W. et al. Investigation of Effective Human Relations Strategies. Santa Monica, California: System Development Corporation, 1980.

8. Ferra, L., and Lanoff, S.B. The ESAA Basic and Pilot Programs in Region II (2 volumes). Washington, D.C.: Applied Urbanetics, 1978.

9. Forehand, G.A., Ragosta, M., and Rock, D.A. Conditions and Processes of Effective School Desegregation. Princeton, New Jersey: Educational Testing Service, 1976.

10. Forehand, G.A. and Ragosta, M. A Handbook for Integrated Schooling. Princeton, New Jersey: Educational Testing Service, 1976.

11. Gordon, K. Evaluation of the Emergency School Assistance Program (5 volumes). Bethesda, Maryland: RMC Incorporated, 1972.

12. Longshore, D., et al. Human Relations Study: Final Report. Santa Monica, California: System Development Corporation, 1981.

13. Longshore, D., et al. Research on Human Relations: Documentation of "Tips for Successful Human Relations at your School." Santa Monica, California: System Development Corporation, 1981.

14. MacPhee, B. Emergency School Assistance Program Community Grants. Atlanta, Georgia: Southern Education Foundation, 1971.

15. Mandel, V., et al. Human Relations Study: Stability of Successful Strategies Study School Characteristics. Santa Monica, California: System Development Corporation, 1981.

16. Need to Improve Policies and Procedures for Approving Grants under the Emergency School Assistance Program. Washington, D.C.: General Accounting Office, 1971.

17. Seefeldt, E. ESAP Community Group: An Evaluation. Washington, D.C.: Kirschner Associates, 1972.

18. Smith, S. An Assessment of Emergency School Aid Act (ESAA) Program Operations (3 volumes). Washington, D.C.: Applied Urbanetics, 1978.

19. Stout, R. Facilitating Desegregation: A Handbook for Community Organizations. Tempe, Arizona: Arizona State University, 1978.

20. Wellisch, Jean B., et al. Characteristic and Contexts of ESAA Basic Human Relations Program. Santa Monica, California: System Development Corporation, 1979.

21. Weaknesses in School Districts: Implementation of the Emergency School Assistance Program. Washington, D.C.: General Accounting Office, 1971.

For further information about program operations,

Contact: Mary Anderson
(202)426-9303

For further information about studies of program effectiveness,

Contact: Rhonda Lewis
(202)245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Emergency School Aid Act (ESAA Nationally Competed Funds) (CFDA Nos. 84.102, 84.058, 84.106-111)

Legislation

Title VI of the Elementary and Secondary Education Act as amended by the Education Amendments of 1978 (P.L. 95-561)

Expiration Date

September 30, 1982

Funding History:	Year:	Total ESAA Authorization:	Appropriation:	Nationally Competed Appropriation
	1973	$1,000,000,000	$228,000,000	$ 93,500,000
	1974	Total of	236,000,000	89,100,000
	1975	1,000,000,000	215,000,000	81,000,000
	1976	for FY 74-76	245,000,000	107,400,000
	Transition Quarter		3,000,000	--
	1977	Total of	257,500,000	119,900,000
	1978	1,000,000,000	300,500,000	162,900,000
	1979	for FY 77-79	300,000,000	162,400,000
	1980	422,250,000	248,571,000	139,771,000
	1981	422,250,000	149,209,000	115,309,000
	1982			1/

Program Goals and Objectives

The Emergency School Aid Act (ESAA) was enacted to provide financial assistance: "(1) to meet the special needs incident to the elimination of minority group segregation and discrimination among students and faculty in elementary and secondary schools; and (2) to encourage the voluntary elimination, reduction or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group students." 2/

1/ Programs to assist LEAs in addressing educational problems caused by the isolation or concentration of minority group children in particular schools are authorized under Chapter 2 of the Education Consolidation and Improvement Act of 1981. No individual dollar amount is specified for these programs under the block grant.

2/ A third purpose, "to aid school children in overcoming the educational disadvantages of minority group isolation" was deleted from the Act in 1978 (P.L. 95-561).

ESAA had six subprograms. The one State apportionment program -- Basic Grants -- is discussed separately elsewhere. The other five were nationally competitive subprograms: Special Projects, Magnet Schools, Nonprofit Organizations, Educational Television and Radio, and Evaluation. Two other ESAA subprograms -- Pilot Projects and Bilingual Projects -- were funded for the final year in Fiscal Year 1979. [3]

Special Project awards included a number of separate subprograms, including the Emergency Special Project out of cycle awards. The latter were intended for LEAs which adopted voluntary desegregation plans or received court ordered plans too late in the school year to apply for an ESAA award during the regular funding cycle. Smaller Special Project awards were for the territories, interdistrict transfer, arts projects, planning grant awards, preimplementation, and other awards.

A Magnet School was a school or educaiton center that offered a special curriculum capable of attracting substantial numbers of students of different racial backgrounds.

Nonprofit Organization grants or contracts to nonprofit groups were authorized to support the development or implementation of eligible desegregation plans.

Educational Television and Radio contracts were awarded to pay the cost of development and production of integrated children's television and radio programs of cognitive or affective educational value.

Evaluation contracts assessed the programs aides under ESAA.

Program Operations:

ESAA was a large discretionary program. Sums are appropriated annually for the nationally competitive award subprograms within limits as specified in the Act.

Applications were made directly to the Department of Education in Washington. The Office for Civil Rights determined whether each district had an eligible desegregation plan and met other civil rights compliance standards specified in the Act. Applications of the nationally competitive award subprograms (with the exception of the Nonprofit Organization and the Educational TV and Radio subprograms) were processed and scored much as desecribed elsewhere for ESAA Basic Grants. The main difference was that applications were ranked for funding nationally rather than within each State as was the case for Basic awards.

3/ Effective in FY 1980 awards for the 1980-81 school year, the Pilot Projects authorization was repealed and the Bilingual Projects transferred to Title VII of the Elementary and Secondary Education Act. Another change involved the expansion of Educational Television awards to include radio as well.

Program Scope:

The table below shows the distribution of ESAA resources for FY 1981 awards:

	No. of Applicants (1)	No. of Awards (2)	Percent of Applicants (3)	Amount Obligated (Thousands) (4)	Percent of Obligations (5)
Basic (a)	515	273	53	$ 92,369	63
Special	128	85	66	16,890	12
Magnet schools(b)	107	69	64	30,000	20
Nonprofit (a)	141	55	39	5,000	3
ETV and Radio	17	4	24	3,000	2
Evaluation	N/A	1	N/A	477	0
Total	908	487	49%	$147,775	100%

(a) ESAA Basic and nonprofit awards are discussed elsewhere in this report.
(b) Also includes University Business Cooperation and Neutral Site Plan awards.

The table of FY 81 awards shows that approximately five of every 10 applicants (487 out of 908) were funded. The percentage of applicants funded was highest for Special Projects (66%) and Magnet schools (64%) programs (column 3). Competition for awards was greatest in the ETV and Radio program, where only 24 percent of applicants were funded.

Program Effectiveness and Progress:

Magnet Schools. An evaluation report prepared for the Department of Education found that:

- Magnet schools can be effective when used as a component of a comprehensive, district-wide desegregation effort and when used in districts with an easier desegregation task.
- Most magnet schools are able to achieve their racial composition and enrollment goals. Among the factors that increase the likelihood of success are:
  - attendance zones that draw at least in part from selected neighborhoods rather than the entire community.
  - location of a magnet school in a racially mixed area rather than a majority or minority neighborhood.
- The ESAA magnet school program funded many school districts with marginal needs for desegregation aid.

Educational Television and Radio. ESAA Educational Television and Radio awards supported to public and private nonprofit organizations for the development and production of television and radio programming that taught academic skills and encouraged interracial and intercultural understanding. Competitions for television and radio contracts were conducted separately, with applicants responding to the Department priorities, as well as initiating their own programming approaches. More than 41 million in 1980 supported ancillary service contracts to provide for commerical carriage and viewership promotion of television series and for videotape duplication, storage, and distribution. In the past, low carriage by commerical stations and poor viewership had hampered the program. The program and distribution strategy was designed to ensure that the investment in development and production was not lost because the series failed to reach their intended audiences.

An ED sponsored survey of television series viewership completed in 1978 found:

- A substantial proportion of the principal intended target audience (Black and Hispanic children) are in communities in which the older, established ESAA television series are broadcast. The newest ESAA series were just becoming available at the time of data collection (May 1977) and at that time reached only a small proportion of the audience.
- Viewership data for individual programs showed that a regional program, "La Esquina," has an 8.5 percent viewership. Another regional series, "La Bonneaventure," had 3.6 percent viewership. All other ESAA-TV series were below 3 percent viewership, including national programs such as "Villa Alegre" (2.6 percent) and "Carrascolendas" (1.5 percent). (Viewership is defined as the number of children who had watched a program once or more within the week preceding the survey divided by the number of children located in communities in which the program is broadcast.)
- Viewership rates for the target race and age audiences were generally higher than the averages shown above. The time of day and day of week that a program is broadcast also significantly affects viewership.

A study (1980) assessing the ESAA-TV program by examining the production, distribution and financing found that:

- The most serious challenges for this program was obtaining increased viewership and increased utilization in schools.
- ESAA-TV had filled a gap by funding the production of television series which met the needs of minority audiences while providing a valuable alternative for majority viewers.

Nonprofit Organizations. In an evaluation report to the Office of Education (1978), the Rand Corporation found that NPO projects were not operating as effectively as other community organizations not funded by ESAA. Activities such as developing community support for a desegregation plan or improving school-community relations could have often been accomplished more effectively by a community organization than by a school district.

There were a number of factors which worked against the more effective community organizations receiving ESAA funding:

- The extremely close connection between "host" school districts and NPOs had led NPOs to undertake projects agreeable to the districts and often not directly related to desegregation. The projects tended to offer education services ordinarily performed by the districts, and less often to undertake community relations and desegregation monitoring activities.
- Because NPO activities were generally not targeted to the particular phase of desegregation their districts are in, many NPO activities were inappropriate to the current desegregation situation in their districts. For example, NPOs often undertook remedial and tutorial activities when the district was in the initial stages of desegregation.
- The NPO proposal review system that was used did not succeed in identifying effective NPOs.

Regulations revisions in 1980 addressed some of the issues raised in the Rand research. However, the strong steps that Rand recommended in order to make ESAA NPOs more effective than other groups not funded by ESAA were not adopted.

Rand's recommendation to "target NPO funds to districts actively involved in the desegregation process" was originally included in revised regulations with a modest weight (10 percent of the total score), but that weight is now down to a maximum of 3 percent.

Maintenance of Effort:

ESAA regulations had maintenance of effort assurance requirements. Applicant school districts had to assure federal government that: (1) they did not reduce their fiscal effort for public education to less than that of an earlier fiscal year, and (2) that current expenditures per pupil from local sources were not less than that of an earlier year.

Current Analytic Activities:

"Survey of Magnet Schools." Due 1982 (0)

This study will assess the function of magnet schools in dealing with urban education problems of magnet schools, the resulting changes in community attitudes, the impact on desegregation, and increments in the quality of education.

Source of Evaluation Data:

1. Crocker, S. et al. An Evaluation of the ESAA Nonprofit Organization Program 4 Volumes. Santa Monica, California: Rand Corporation, 1978.

2. Hebbler, K., and Cosgrove, M. A Survey of Home Viewership of Television Series Sponsored by ESAA Legislation. Silver Spring, Maryland: Applied Management Sciences, 1978.

3. Nelson, B. Assessment of the ESAA-TV Program: An Examination of Its Production, Distribution and Financing. Cambridge, Massachusetts: Abt Associates, 1980.

4. Royster, E., Baltzell, D.C., & Simmons, F.C. Study of the Emergency School Aid Act Magnet School Program. Cambridge, Massachusetts: Abt Associates, 1979.

5. Seefeldt, E. ESAP Community Group: An Evaluation. Washington, D.C.: Kirschner Associates, 1972.

6. Stout, R. Faciliating Desegregation: A Handbook for Community Organizations. Tempe, Arizona: Arizona State University, 1978.

For further information about program operations,

Contact: Anderson (Malcolm Davis for ESAA TV only)
202-426-9303 245-9228

For further information about studies of program effectiveness,

Contact: Rhonda Lewis
202-245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

General Assistance for the Virgin Islands

Legislation:	Expiration Date:
P.L. 95-561, Sec. 1524	September 30, 1983

Funding History:

Year	Authorization	Appropriation
1979	$5,000,000	$ -0-
1980	5,000,000	3,000,000
1981	5,000,000	2,700,000
1982	2,700,000	1,920,000

Program Goals and Objectives:

This program provides general assistance to improve public education in the Virgin Islands.

Program Operations:

Since this is a direct entitlement program, it is administered by a signed agreement between the U.S. Department of Education and the Department of Education of the Virgin Islands.

Program Scope:

The Fiscal Year 1981 funds were authorized for the following activities:

Curriculum Centers	$ 1,340,000
Remedial Education	200,000
Classroom Renovations	810,000
Educational Research	75,000
Library Service & Instructional Material	200,000
Educational Dissemination	75,000

In FY 1981 (with FY 1980 funds), forty new teachers were employed to serve 720 students who were taken out of crowded classrooms and placed in new or remodeled facilities in nearby Caribbean Islands. A curriculum center for St. Thomas and St. Johns has been purchased and plans for the construction of a curriculum center in St. Croix have been recently completed. The curriculum centers will become a focal point to serve 7,000 non-Virgin Island students in the Caribbean.

These centers will be used to develop new curriculum materials and will serve as a training center for teachers. Fiscal Year 1981 funds were also used for a new math curriculum project and an alternative education project.

Program Effectiveness and Progress:

No evaluation of this program has been conducted.

Current Analytic Activities:

None.

Sources of Evaluation Data:

Analysis of grantee progress and fiscal reports.

For further information about program operation,

Contact: Joan Pizza, (202) 472-7777

For further information about program effectiveness,

Contact: Rhonda Lewis, (202) 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Training and Advisory Services (Civil Rights Act of 1964, Title IV)
(CFDA No. 84.057)

Legislation:	**Expiration Date:**
Title IV of the Civil Rights Act of 1964 (P.L. 88-352)	September 30, 1984

Funding History:

Year	Authorization	Appropriation
1968	indefinite	$ 8,500,000
1969		9,250,000
1970		17,000,000
1971		16,000,000
1972		14,000,000
1973		21,700,000
1974		21,700,000
1975		26,700,000
1976		26,375,000
Transition Quarter		325,000
1977		34,700,000
1978		34,700,000
1979		41,350,000
1980		45,675,000
1981		37,111,000
1982	$37,100,000	24,000,000

Program Goals and Objectives:

Title IV is designed to provide training and technical assistance to school districts related to problems incident to school desegregation with respect to race, color, religion, sec, and national origin. Technical assistance is authorized "in the preparation, adoption, and implementation of plans for the desegregation of public schools." Technical assistance includes, among other activities, making information available regarding "effective methods of coping with special educational problems occasioned by desegregation." The law also provides for training of school personnel "to deal effectively with special educational problems occasioned by desegregation," and for grants to school boards for inservice training of school personnel and the employment of spcialists in connection with desegregation.

There are eleven subprograms under the Title IV program. Desegregation Assistance Centers (DACs) provide technical assistance and training services to local school districts within designated service areas. Separate DAC awards are made in the areas of race, sex, and national origin. State Educational Agencies (SEAs) are an alternative source of desegregation services. There are separate awards to SEAs in the areas of race, sex, and national origin.

There are two types of Training Institutes (TIs), one for sex desegregation and one for race desegregation. TIs conduct only training and do not provide technical assistance services. Finally, there are three types of direct awards to Local Education Agencies (LEAs) to hire desegregation advisory specialists and conduct related training. These LEA awards are made for race, sex, and national origin desegregation purposes. In summary there are eleven Title IV subprograms: three DAC, three SEA, two TI and three direct LEA awards. However, for FY 82-83 TIs and LEAs were not funded.

Program Operation:

Title IV is a large discretionary grant program. Most DAC awards are made to institutions of higher education although any public agency (except an SEA or LEA) or private, nonprofit organization is eligible. Only institutions of higher education are eligible for TI awards. Only SEAs and school boards are eligible for SEA and direct LEA awards, respectively.

Applicants send proposals to the U.S. Department of Education (ED). Proposals are due at a time announced in the Federal Register except for the discretionary awards to LEAs for race and national origin desegregation, for which applications may be received and awards made at any time. After review by ED staff, panelists assign each application a total numerical score (consisting of points for specific criteria that are added to produce a total score). Within each category, awards are made from the highest score down to a minimum acceptable score of 60 percent until funds are exhausted (except for DACs, where the applicant for each geographic service area with the highest score is selected). All DACs funded during FY 1982 received continuation funding for FY 82-83. Training Institutes and Local Educational Agencies were not funded.

Program Scope

The following table presents data on Fiscal Year 1982 Title IV awards.

Category	Total Applications (1)	Total Awards (2)	Percent of Applicants Funded (3)	Amount Awarded (thousands) (4)	Percent of Total Funds (5)	Average Award (thousands) (6)
Race						
DAC	17	17	100	$ 5,398	22	$ 318
SEA	32	30	94	4,349	18	145
Sex						
DAC	12	12	100	3,298	14	275
SEA	39	37	95	4,551	19	123
National Origin						
DAC	11	11	100	3,141	13	285
SEA	30	28	93	3,185	13	114
TOTAL	141	135	97	$23,922	99	$210

Program Effectiveness and Progress:

Title IV regulation were substantially revised in 1978 incorporate many recommendations from a 1976 evaluation of the race desegregation programs by Rand Corporation, Title IV of the Civil Rights Act of 1964: A Review of Program Operations. That evaluation found that Title IV needed more Federal direction to focus on needs directly related to desegregation. Recommendations from three other studies were also considered in revising the regulations.

Some of the major changes to increase the desegregation focus of Title IV were:

- SEAs providing race desegregation assistance must give priority to school districts that are in the first three years of plans implementing these plans.
- Race DACs (formerly called "general assistance centers") must give priority to helping school districts develop desegregation plans and to assisting districts in the first three years of implementing these plans.
- Race TIs are permitted to provide training only to school districts that have adopted desegregation plans within the two years preceding the beginning of the training.
- Activities related to the provision of compensatory education or the development of basic skills may not be funded under Title IV.

Another major feature of the 1978 regulations--not related to the Title IV evaluation study--is that Title IV aid may be provided only to school districts remedying conditions of racial separation that are the result of State or local law or official action. The statute prohibits Title IV assistance for efforts that involve the assignment of students to public schools in order to overcome racial imbalance.

The Rand study based primarily upon an analysis of information from mail questionnaires from 140 Title IV projects and site visits conducted at 40 projects and 74 school districts being served by these Title IV race desegregation projects.

Rand found that DACs often undertake race desegregation activities such as developing new instructional techniques, training in theuse of new methods and materials, developing curricula, helping districts assess needs and developing techniques for school-community interaction. More than any of the other types of Title IV projects, DACs have to function as organizations capable of delivering a wide range of training and technical assistance sevices to a large number of school districts. Given these complexities, it is not surprising that the statistcal analysis found that several organizational characteristics were strongly related to the effectiveness 2/ of DACs but not the other types of Title IV projects. Favorable DAC organizational characteristics included having a well-specified plan of project organization containing explicit schedules and milestones and a clear description of staff responsibilities.

The more effective DACs visited had a clear conception of the race desegregation assistance process and were selected in choosing districts where they could anticipate a favorable impact in contrast with other DACs which attempted to provide substantial services to all districts requesting assistance. Also, the evaluation found that the more effective DACs were more active in conducting needs assessments. These DACs tended to work more closely with their client districts and to conduct the needs assessment activity as part of a plan for uncovering desegregation-related needs.

SEA Title IV race desegregation units develop and disseminate materials, interpret Federal desegregation guidelines, and obtain statistical information to assist in identifying desegregation problems. SEAs also conduct the training and technical assistance activities related to information dissemination (including minority job recuirtment). More complex SEA technical assistance activities were effective only in States where there is a commitment by the State to school desegregation both in terms of a clear State policy and specific goals and objectives for its enforcement. Two of the thirteen Title IV SEA units visited has such an operational commitment to desegregation and those were judged as the most effective by all measures of effectiveness that were used.

The 1978 regulations provide substantial points in the criteria for awards for the SEA commitment to desegregation and require a minimum of 60 out of 100 total points for funding.

Training Institutes (TIs) for race desegregation tend to provide specialized activities relating to the training of school personnel. TIs essentially structure themselves to meet specific districts needs. TIs can be effective if the district has a favorable desegregation environment but have no leverage and are not effective in less amenable districts. As noted at the start of this section, the regulations direct TI services only to districts recently adopting desegregation plans and require that training be related to desegregation.

The evaluation found that the success of the direct grants to LEAs for race desegregation was dependent upon a favorable desegregation environment within the district. Without such a commitment the advisory specialist lack influence to deal with desegregation issues.

2/ Project effectiveness was measured with a series of rating scales completed by interviewers after they conducted site visits at the project and school districts served by the project. Ratings were made of the effectiveness or impact of a project on the policies, programs, personnel institutional structure, and training aspects of the districts served by the project. Effectiveness ratings were correlated with other characteristics of project (in this case, organizational characteristics) separately for DACs and the other categories of Title IV projects.

Current Analytic Activities:

None

Source of Evaluation Data:

1. Crocker, S., et al. Title IV of the Civil Rights Act of 1964: A Review of Program Operations (2 volumes). Santa Monica, California: Rand Corporation, 1976.
2. Kings, N.J., Thomas, M.A., & Graubard, M.H. Title IV of the Civil Rights Act of 1964: Expansion of Program Responsibilities. Santa Monica, California: Rand Corporation, 1977.
3. Mogin, B. The State Role in School Desegregation. Menlo Park, California: Stanford Research Institute, 1977.
4. Title IV and School Desegregation: A Study of a Neglected Federal Program. Washington, D.C.: U.S. Commission on Civil Rights, 1973.

For further information about program operations,

Contact: Jack Simms
(202) 245-8484

For further information about studies of program effectiveness,

Contact: Rhonda L. Lewis
(202) 245-7875

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Follow Through (CFDA No. 84.014)

Legislation:	**Expiration Date:**
Omnibus Budget Reconciliation Act of 1981, Subtitle A of Title VI (P.L. 97-35)	September 30, 1984 [1]

Funding History:	Year:	Authorization:	Appropriation:
	1968	[2]	$15,000,000
	1969		32,000,000
	1970		70,300,000
	1971	70,000,000	69,000,000
	1972	70,000,000	63,060,000
	1973	70,000,000	57,700,000
	1974	70,000,000	53,000,000
	1975	69,000,000	55,500,000
	1976	60,000,000	59,000,000
	1977	60,000,000	59,000,000
	1978	60,000,000	59,000,000
	1979	70,000,000	59,000,000
	1980	85,000,000	44,250,000
	1981	100,000,000	26,250,000
	1982	44,300,000	19,440,000

Program Goals and Objectives:

The Follow Through Program provides "financial assistance in the form of grants to local educational agencies, combinations of such agencies and any ... other public or appropriate nonprofit private agencies, organizations, and institutions for the purpose of carrying out Follow Through programs focused primarily on children from low-income families in kindergarten and primary grades, including such children enrolled in private nonprofit elementary schools, who were previously enrolled in Headstart or similar programs." Further, the legislation provides that projects must provide comprehensive educational, health, nutritional, social, and other services which will aid the continued development of the children.

---

[1] The Omnibus Budget Reconcilation Act of 1981 (P.L. 97-35) authorized the Follow Through Act, on a phased basis, into Chapter 2 of the Education Consolidation and Improvement Act of 1981. For carrying out the purposes of the FT program, funds have been reduced for each of the Fiscal Years 1983 and 1984. Effective October 1, 1984 the program will be repealed.

[2] An authorization level was not specified prior to FY 71.

Follow Through is "an experimental community services program designed to assist, in a research setting, the overall development of children enrolled in kindergarten through third grade from low-income families, and to amplify the educational gains made by such children in Head Start and other similar quality preschool programs by: (a) implementing innovative educational approaches, (b) providing comprehensive services and special activities in the areas of physical and mental health, social services, nutrition, and such other areas which supplement basic services already available within the school system, (c) conducting the program in a context of effective community service and parental involvement, and (d) providing documentation on those models which are found to be effective."

Comprehensive services and parental involvement are required in all projects. The experimental feature of the program has been the development of a variety of educational models, sponsored by university or research institutions that have designed approaches to early childhood education. These sponsoring institutions are responsible for delivering and installing their models at local sites, and providing for continuous technical assistance, teacher training, guidance, and quality control. The primary focus of evaluation activities has been upon the relative effectiveness of the alternative educational models. The overall goal was to add to our knowledge about what works and what does not work for children from low income families.

Program Operations:

Grants within Follow Through are made only on a continuation basis, i.e., to be eligible for a continuation grant an applicant must have received a grant from Follow Through in the preceding fiscal year.

The major portion, approximately 85 percent, of the Follow Through FY 1982 appropriation was used for grants to local educational agency projects which include an educational component and a variety of support services to children. Approximately 8 percent was distributed as grants to sponsors of educational models and approximately 7 percent appropriation was spent to fund expanded demonstration activities in 19 sites (known as resource centers) judged exemplary by the Education Department Dissemination Review Panel.

Due to the continuous reduction in appropriations, the number of projects funded has been reduced from 153 in FY 1979 to 69 in 1982 and the number of sponsors funded has been reduced from 19 in FY 1979 to 15 in 1982.

Program Scope:

In FY 1982, more than 28,000 children in kindergarten through third grade participated in Follow Through. The program emphasizes community and parental involvement and encourages the focusing of available local, State, private, and Federal resources on the needs of Follow Through children. The Follow Through program is quite broad in scope and encompasses instructional and non-instructional support services.

Program Effectiveness and Progress:

One measure of the ultimate effectiveness of Follow Through is the degree to which it has fostered the development of successful approaches to the education of low income children. Information pertaining to this issue is reported below in three categories: (1) results of parent involvement study; (2) results of national longitudinal evaluation studies; and (3) approval of local Follow Through projects for national dissemination by the USOE/NIE Joint Dissemination Review Panel (JDRP).

Parent Involvement Study.

Follow Through was one of four programs examined in the area of parent involvement. The study (1981) findings indicated that, in keeping with its regulations, Follow Through parents are often involved in a variety of activities at the local sites. Since there is considerable variation in the manner in which sites interpret regulations, there is a wide range in terms of breadth and intensity of parental involvement activities.

National Longitudinal Evaluation Studies:

The goal of the Follow Through national evaluation was to identify effective educational approaches for low income children in kindergarten through third grade. The national evaluation focused on assessing outcomes for children in 16 sponsored models, plus some unsponsored sites. The performance of Follow Through children, grouped at the site level, was compared to that of children from similar socio-economic backgrounds who did not participate in Follow Through. Because the comparison children were chosen after the program began, in some sites they were not very well matched to the Follow Through participants. Interpretation of study results was further complicated by the fact that comparison children also often received supplementary services similar to but in lesser amounts than Follow Through children. The effects of the instructional models were assessed over three cohorts (entering groups) of children on a variety of measures, including reading, mathematics, spelling, language arts, abstract reasoning, and self-esteem. The most recent data from the national evaluation were gathered in Spring, 1975.

Key findings from the evaluation reports completed in 1977 are as follows:

- The effectiveness of each Follow Through project varied substantially from site group to site group; overall model averages varied little in comparison.

- Several models that emphasized basic skills showed greater effectiveness in helping children achieve these skills; children in these models also tended to have higher scores on affective measures, such as an index of self-esteem.

- o Many models showed no greater effectiveness overall than the programs for comparison children, who tended to have received other compensatory education, such as Title I services.
- o There were statistically significant differences in resource utilization between Follow Through and comparison programs, however, costs per pupil in Follow Through are, on average, approximately the same as ESEA Title I.
- o There was large across-site variability in adjusted costs of the same classroom model.

Education Department Dissemination Review Panel Approvals.

In later summer 1977, 36 Follow Through projects were presented to the Dissemination Review Panel. Evidence of effectiveness for each project was reviewed by the panel and 21 projects were judged exemplary, i.e., these 21 projects were judged to have presented persuasive evidence of program effectiveness and to be suitable for nationwide dissemination. These 21 projects represented about 14% of all Follow Through projects. Since that time, 27 more projects have been validated by the JDRP. Currently there are 43 validated projects (62% of all Follow Through projects). This may indicate that project effectiveness changes over time and that frequent tion is necessary if evaluation results are to be used in managing the program.

Current Analytic Activities:

None.

Sources of Evaluation Data:

The Follow Through Planned Variation Experiment

Volume I. A Synthesis of Findings. Washington, D.C.: DHEW USOE, in draft.

Volume II-A. National Evaluation: Patterns of Effects. Cambridge, MA: Abt Associates, Inc., 1977.

Volume II-B. National Evaluation: Detailed Effects. Cambridge, MA: Abt Associates, Inc., 1977.

Volume II-C. National Evaluation: Detailed Effects. Cambridge, MA: Abt Associates, Inc., 1977.

Volume II-C. Appendix. Cambridge, MA: Abt Associates, Inc., 1977.

Volume III. Sponsor Evaluation: Patterns of Effects. Washington, D.C.: Follow Through Sponsors, in preparation.

Volume IV. Cost Analysis. Bethesda, Maryland. RMC Research Corporation, 1977.

Volume V. A Technical History of the National Follow Through Evaluation. Cambridge, MA: The Huron Institute, 1977.

Volume V. Appendix: Analysis of Interim Follow Througn Reports. Cambridge: The Huron Institute, 1977.

Parents and Federal Education Programs: Preliminary Finding. Santa Monica, CA: System Development Corporation, 1981.

A Search for Potential New Follow Through Approaches. Cambridge, MA: Abt Associates, Inc., 1980.

Opportunities for Studying Later Effects of Follow Through. Cambridge, MA: Abt Associates, Inc., 1980.

For further information about program operations,

Contact: Frank Delia
(202) 245-2500

For further information about studies of program effectiveness,

Contact: Rhonda Lewis
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (Impact Aid):
Maintenance and Operations
(CFDA No. 84.041)

Legislation:

P.L. 81-874, as amended. P.L. 95-561 and P.L. 97-35

Expiration Date:

September 30, 1984

Funding History:

Year	Authorization	Appropriation
1962	247,000,000	247,000,000
1963	282,322,000	282,322,000
1964	320,670,000	320,670,000
1965	359,450,000	322,000,000
1966	388,000,000	388,000,000
1967	433,400,000	416,200,000
1968	461,500,000	486,355,000
1969	590,950,000	505,900,000
1970	1,150,000,000	505,400,000
1971	935,295,000	536,068,000
1972	1,024,000,000	592,580,000
1973	1,025,000,000	635,495,000
1974	989,391,000	574,416,000
1975	980,000,000	636,016,000
1976	995,000,000	684,000,000
Transition Quarter		70,000,000 1/
1977	1,090,192,000 2/	768,000,000
1978	1,135,000,000 2/	775,000,000 3/
1979	1,309,166,000 2/	786,000,000 2/
1980	1,404,900,000	792,000,000 4/
1981	1,487,700,000	706,750,000
1982	455,000,000	436,800,000 5/

1/ Includes $15 million in Transition Quarter Funds for fiscal year 1977 start up costs.

2/ Does not include disaster provisions.

3/ Includes appropriation for disaster assistance.

4/ Includes $20 million supplemental for disaster assistance.

5/ Amount provided by the 1982 Continuing Resolutions.

Program Goals and Objectives:

P.L. 81-874 provides assistance to local school districts for current operating costs of educating children in areas where enrollments and local revenues are adversely affected by Federal activities. The purpose of the legislation is to minimize the final inequities and deficiencies resulting from and caused by both the occupancy of tax-exempt Federal lands and the burden of providing public school education to children who reside on Federal property and/or have a parent who is either employed on Federal property or a member of one of the uniformed services (Section 3). The law also provides for the full cost of educating children residing on Federal property when no State or local funds may be expended for the schooling of such children or where no local education agency (LEA) is able to provide suitable free public education (Section 6). Indian lands and low-rent housing properties (assisted under the United States Housing Act of 1937 and subsequent amendments in 1949 and 1964) are included as eligible Federal property under this law. Assistance for major disasters is also provided to schools through the program.

In general, these funds become part of the general operating accounts of LEAs. However, Impact Aid payments for handicapped children of military personnel and handicapped children residing on Indian lands must be used for programs to meet the needs of these children. Also, school districts serving Indian children must adopt policies and procedures assuring that they are providing appropriate programs for these students with parental and community participation.

Program Operations:

Payments are made directly to local education agencies (or to Federal agencies where there are operating schools). Maximum payment or full entitlement is the product of the number of federally connected pupils multiplied by an amount approximately equal to an agency's local contribution rate (LCR=the number of dollars raised from local taxes per pupil in attendance and is intended to compensate for the burden imposed by the various types of federally connected children at the rate which approximates locally raised educational funds). The local contribution rate may be based either on comparable districts' per-pupil costs derived from local revenues, or alternatively, on a minimum rate equal to the greater of one-half the State or national average per-pupil expenditure.

The percentage of the local contribution rate to which an agency is entitled varies for over a dozen subcategories of federally connected children. These include various category "A" children (generally children who live on Federal property with a parent who works on Federal property or in the uniformed services) and various category "B" children (generally children who live on Federal property or live with a parent employed on Federal property, but not both). The percentages of the local contribution rate attributable to the different subcategories reflect how the different types of federally connected children impose differing degrees of financial burdens on school districts. The degree of burden varies with the location of the child's residence and with the location of the parent's place of work.

Applications for payments are submitted to the Secretary of Education through the State Education Agency, which certifies that information on the local education agency's application is accurate insofar as records in the State office are concerned.

Program Scope:

In 1981, awards were made to approximately 3,900 school districts containing 2,224,000 federally connected school children. Payments were made to other Federal agencies maintaining schools for 35,000 pupils. Since the funds are available for the general operating accounts of school districts, some or all of the 24 million children enrolled in Impact Aid school districts could conceivably benefit from the aid provided by the program. In 1981, funds were obligated for disaster assistance in the amount of $10.6 million. On the average, Federal payments represented about 2 percent of the total operating costs of eligible districts in 1981, with a range of less than 1 percent to more than 90 percent of the operational expenditures.

Program Effectiveness and Progress:

A number of evaluation studies of the program have been conducted since 1965. One study was conducted by the Department of Health, Education, and Welfare in 1978.

The principal findings of this study:

- School districts may be overcompensated for the Federal burden imposed to the extent that:
    - Children such as out-of-county "B" and public housing children are included in the count of federally connected children.
    - Local contribution rates overestimate what local educational costs would be in the absence of Federal impact.
- Program funds are not equitably distributed in terms of district wealth and need because:
    - Twenty percent of program funds go to impacted districts found in the highest quartile of their State's distribution of per-pupil property wealth. Furthermore, these districts could offset loss of impact aid funds by increasing local revenues by about 1.7 percent.
    - Sixty percent of Impact Aid districts have fewer than 10 percent federally connected children, yet they receive 20 percent of all Impact Aid dollars.
- The program fails to work well with State equalization programs to encourage and aid States to equalize per-pupil expenditures among their districts because:

  - oo It provides coordination of Impact Aid payments with State equalization plans only for those States which pass strict equalization tests.
  - oo For States which do not pass one of the equalization tests it provides aid in an unequalizing manner because the State is prohibited from offsetting Impact Aid payments to wealthy Impact Aid districts.

The findings of a 1980 program audit included the following:

- o Overcompensation for Federal burden occurs when:
  - oo Districts using the comparable district method are allowed to include local expenses financed by local property taxes equalized by the State in their computation of aggregate current expenses used to compute their LCRs.
  - oo Payments are made under Section 2 to districts experiencing a property loss due to Federal activity when that loss is compensated for under the State equalization program.
- o Undercompensation for Federal burden may occur when:
  - oo Heavily impacted districts incurring a tax effort at least equal to the State average do not achieve the State average of per-pupil expenditures when impact aid payments are counted.

Recommendations of the Program Audit included:

- o With regard to "Section 6" schools:
  - oo That procedures be implemented by which the Secretary of Education may ensure that funds are effectively spent in these schools.
  - oo That the school boards of such schools be given the same powers and duties as those of elected school boards throughout the Nation (or other legally constituted local school authority to provide free public education within legal geographic boundaries). (Policy implementation, however, would require the concurrence of the military base commander.)
  - oo That the program director seek the closing of those schools no longer needed.
- o With regard to LEAs serving Indian children, the audit recommended:
  - oo That technical assistance in the form of a booklet and workshop be provided to these LEAs to assist them in meeting their responsibility of developing policies and procedures to assure adequate participation of the parents

of these children in the education of their children and to assure the equal participation of the children in the school program.

- With regard to the system of management of grant awards, the audit recommended:
  - Changes in the method by which preliminary payments are processed in order to meet the congressionally mandated deadline for making such payments to LEAs.
  - Changes in the method of processing applications under Section 3 in order that these applications will be processed and approved within two weeks of the closing date for applications.
  - Increasing the number of program officers in the Field Operations Branch in order to recover anticipated overclaims made by LEAs.

The findings of the HEW study and the options which it explored as ways of remedying program ineffectiveness were largely ignored by Congress in the 1978 program reauthorization. The program audit, on the other hand, recommended program changes which do not require a change in the Act. Of the twenty-one policy issues which the audit identified, eleven were resolved internally. Of the remaining issues, the Assistant Secretary for Elementary and Secondary Education requested that the program office implement the recommendations made on three of these issues. The recommendations on seven of the twenty-one issues have not been pursued. It is expected that those Audit recommendations which are implemented will provide a more equitable allocation of program funds among impacted LEAs and will lead to a timely processing of applications.

Ongoing and Planned Evaluation Studies:

Section 1015 of the Education Amendments of 1978 (P.L. 95-561) required the President to appoint a Commission on the Review of the Federal Impact Aid program, consisting of 10 members. The Commission was charged with reviewing the administration and operation of the Impact Aid program including -

(1) The equity of the present funding structure under Public Law 81-874

(2) The relative benefit of the assistance from impact aid under Public Law 81-874 in view of the increasing costs of the program and the limitation on the availability of funds, and

(3) The ways in which districts or local educational agencies which are Federally impacted can best be assisted in meeting their educational needs.

In September 1981 the Commission submitted a final report to the President and Congress. The report made numerous recommendations to expand the program.

Sources of Evaluation Data:

1. The Commission on the Review of the Impact Aid Program, Interim Report, September 1981
2. Dr. William Rock, et al., DSAFA Program Audit Spring 1980. (Internal Document).
3. Stanford Research Institute. Effects of Federal Installation Phase-Outs Upon School Districts. Menlo Park, California: Stanford Research Institute, 1965. (ED073525)
4. Battelle Memorial Institute. School Assistance in Federally Affected Areas: Study of Public Laws 81-874 and 81-815, published by Committee on Education and Labor, H.R. 91st Congress, 2nd Session, GPO, 1970.
5. Commissioner of Education, U.S. Department of Health, Education, and Welfare, Administration of Public Laws 81-874 and 81-815. GPO, 1978. (ED165220)
6. Comptroller General of the United States, Assessment of the Impact Aid Program. Report to the House Committee on Education and Labor, October 15, 1976. (ED130455)
7. L. L. Brown III, A. L. Ginsburg, and M. Jacobs, Office of the Assistant Secretary for Planning and Evaluation, Education Planning Staff, U.S. Department of Health, Education, and Welfare, Impact Aid Two Years Later, March 15, 1978. (ED151972)

For further information about program operations,

Contact: Mr. William J. Phillips
(202) 245-8427

For further information about studies of program effectiveness,

Contact: Fritz Edelstein
(202) 245-8638

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (Impact Aid): Construction (CFDA No. 84.040)

Legislation:	Expiration Date:
Public Law 31-815 as amended by Public Law 95-561.	September 30 1984 1/

Funding History:

Year	Authorization	Appropriation
1962	61,942,000	61,942,000
1963	63,686,000	63,686,000
1964	60,346,000	23,740,000
1965	58,400,000	58,400,000
1966	61,080,000	50,078,000
1967	52,937,000	52,937,000
1968	80,000,000	22,937,000
1969	80,000,000	14,745,000
1970	80,407,000	15,167,000
1971	83,000,000	15,300,000
1972	91,250,000	19,300,000
1973	72,000,000	25,910,000
1974	72,000,000	19,000,000
1975	72,000,000	20,000,000
1976	70,000,000	20,000,000
1977	70,000,000	25,000,000
1978	70,000,000	30,000,000
1979	70,000,000	30,000,000
1980	indefinite	33,000,000
1981	indefinite	50,000,000
1982	20,000,000	19,200,000 2/

Program Goals and Objectives:

Public Law 81-815 is designed to provide local education agencies enrolling children whose parents live or work on Federal property with financial aid for school construction under specified conditions: for construction of urgently needed minimum school facilities in school districts which have had substantial increases in school membership as a result of new or increased Federal activities (Section 5); where provision of the non-Federal share of construction imposes a financial hardship (Section 8); and for the construction of temporary school facilities where a Federal impact is expected to be temporary (Section 9).

1/ Provisions pertaining to Section 5(a)(1) pupils and Sections 10 and 14 are permanent.

2/ Amount provided by the 1982 Continuing Resolution.

The law also directs the Secretary to make arrangements for providing minimumm school facilities for children living on Federal property if no tax revenues of the State or its political subdivisions may be spent for their education or if the Secretary finds that no local education agency is able to provide a suitable free public education (Section 10). Assistance is authorized for construction of minimum school facilities in local education agencies serving children residing on Indian lands by Section 14(a) and 14(b). Section 14(c) authorizes assistance to financially distressed local education agencies which have substantial Federal lands and substantial numbers of unhoused pupils. Emergency aid is available to LEAs for the reconstruction of school facilities destroyed or seriously damaged in school districts located in Presidentially declared major disaster areas (Section 16).

Program Operation:

Grants are made to qualified school districts on the basis of applications. The amount of payment to a local school district under Section 5 of the Act (P.L. 81-874) depends upon the rate of payment associated with each category of federally connected children. Payment rates for children vary according to the extent to which the child's household is presumed to provide tax revenues to support education. For example, the highest rate, 100%, is associated with children who reside on Federal property and have a parent in one of the uniformed services of the United States. In this case it is presumed that the child's household pays neither property nor income taxes and may pay minimum amounts in State sales taxes or other broad based taxes, nor does the place of the parent's employment pay property taxes. The lowest rate, 40%, applies to a category of households on Federal property and hence expected to pay some property, sales, and income taxes.

For other sections of the law, full costs of construction are authorized, but are limited to actual cost of providing minimum school facilities for children who would otherwise be without such facilities.

Because appropriations for Public Law 81-815 have been substantially below the amounts required for funding of all qualified applicants, the basic law, since Fiscal Year 1967, has placed priorities on the Sections to be funded. Section 16, disaster assistance, receives first priority. The law allows the Secretary to fund disaster assistance under Section 16 from any available funds as the need arises, with payments under other sections then covered by any subsequent appropriations made by the Congress for disaster assistance. According to the authorizing legislation, applications under Sections 9, 10, 14(a) and 14(b) receive priority over applications under the remaining Sections (5, 8, and 14(c)). However, beginning with fiscal year 1973, appropriations language went beyond the priorities set by the authorization act and appropriated specific amounts for specific sections.

The law requires that eligible applications be ranked within each section on the basis of relative urgency of need and that available funds be assigned on this basis. The ranking by relative urgency of need is based on the percentage of federally connected children eligibile for payment in a school district and the percentage of "unhoused" pupils in the district. "Unhoused" pupils are those in membership in the schools of a district over and above normal capacity of available and usable minimum school facilities.

In recent years, appropriation language has directed available funds for use toward the most urgent needs for school facilities. Funds have been directed toward high priority projects under Section 9 (facilities needed because of a temporary influx of federally connected children), Section 10 (schools on Federal property), and Sections (14(a) and 14(b) (schools for children residing on Indian lands). Section 5 has, in general, received the balance of funds appropriated over and above funds appropriated directly for Sections 9, 10, and 14(a) and (b).

The allocations in recent years are as follows:

(in millions of dollars)

Section	1978	1979	1980	1981
5	$4.0	$1.0	$3.0	$3.0
9	5.0	---	---	---
10	10.5	13.0	13.0	25.0
14	10.5	16.0	17.0	22.0
TOTAL	$30.0	$30.0	$33.0	$50.0

Program Scope:

From 1951 through 1980, Public Law 81-815 has provided approximately $1.8 billion for school construction to house more than 2.8 million pupils. Only the most urgent projects at the top of the priority rating for the different sections are funded under current appropriation levels. Substantial increases have been provided for Sections 10 and 14(a) and (b) although the backlog of eligible applications continues to increase. In addition, more than $36 million has been obligated to assist in reconstruction of school facilities destroyed or seriously damaged by major disasters since such assistance was authorized in 1966.

In FY 1980, under Section 5, slightly more than $2.9 million was reserved for 11 projects involving new construction in 9 school districts, and $5.7 million of Department of Defense funds were transferred to the program to finance the upgrading of facilities in 7 school districts in the State of Washington impacted by the Trident Missile Project. Under Section 14, a total of $5.7 million has been reserved for 3 new projects and 3 other projects begun in previous years. Finally, under Section 10, $5.4 million has been committed for 42 projects at 54 installations for the purpose of upgrading the life-safety conditions at these locations. Remaining funds may be spent to fund a new project.

Program Effectiveness and Progress:

A primary concern of the program is the backlog of the eligible applications which has accumulated since 1967, the last year for which appropriations were adequate to fund current needs. By the end of Fiscal Year 1979 the backlog was estimated to involve 454 project applications requiring funds of $591.3 million fund. The backlog, at the end of Fiscal Year 1980, is as follows:

	Amount 3/	Number of Projects
Section 5	$ 98,000,000	246
Section 10	246,000,000	110
Section 14	229,300,000	98

The ability of the program to determine the construction needs based on past applications is compromised due to:

(a) districts not filing applications because of the limited chance of receiving a grant;

(b) districts obtaining funds from other sources to meet their construction needs;

(c) the need to adjust past estimates of construction costs for inflation;

(d) the influence of decreasing enrollments.

Recognizing that the above factors have worked against the program's ability to ascertain construction needs, program administrators conducted an in-depth study of the construction needs of Section 10 schools. Completed in early 1978, the study found that a total of $200 million (measured in 1976 dollars--for 1981 an increase factor of 10 percent per year or 50 percent) was needed to:

(a) upgrade existing Section 10 school facilities to meet life safety and handicapped access standards ($10.5 million--to be factored for increased escalation costs from 1976);

(b) replace facilities where upgrading could not meet life safety and handicapped access standards ($60 million);

(c) adequately house the pupils enrolled in these schools ($128.5 million).

The study's findings have been used as a basis for making budgeting recommendations to Congress.

3/ Estimates are subject to confirmation of current needs as well as increases in costs for construction and increases to meet current school housing standards.

In 1979, the U.S. Office of Education conducted site visits at seven LEAs (who had applied under Section 14) to document life/safety hazardous conditions in schools on or near Indian reservations. Three of the seven districts were found to have severe life/safety hazardous conditions in one or more of their schools. Based, in part, on this study's findings and that of a program officer, the Director recommended to the U.S. Commissioner of Education that an up-to-date analysis of construction needs of Section 14 schools be conducted through site visits to 10 percent of the 700 LEAs and a mail survey to the remaining LEAs. To date no action on this recommendation has occurred.

Ongoing and Planned Evaluation Data:

The Department of Education is considering studying the construction needs of impacted school districts for the purpose of providing Congress with current information regarding these needs.

Sources of Evaluation Data:

Condition, Safety and Adequacy of Schools Serving Children Who Reside on Indian Lands, HEW, 1979.

In-Depth Study of Federally-Owned School Facilities Provided Under Section 10 of Public Law 81-815, Department of Health, Education, and Welfare, 1977.

Battelle Memorial Institute, School Assistance in Federally Affected Areas: A Study of Public Laws 81-874 and 81-815, published by the Committee on Education and Labor, H.R. 91st Congress, 2nd Session, GPO, 1970. (ED034903)

U.S. Department of Health, Education, and Welfare. Administration of Public Laws 81-874 and 81-815. Washington: Government Printing Office, 1978. (ED165220)

For further information about program operations, contact:

William J. Phillips
245-8427

For further information about studies of program effectiveness, contact:

Fritz Edelstein
245-8638

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Allen J. Ellender Fellowships, (CFDA 84.148)

Legislation:

Public Law 92-506

Expiration Date:

September 30, 1984

Funding History:

Year:	Authorization	Appropriation:
1973	$ 500,000	$ 500,000
1974	500,000	500,000
1975	500,000	500,000
1976	500,000	500,000
1977	750,000	750,000
1978	750,000	750,000
1979	1,000,000	1,000,000
1980	1,000,000	1,000,000
1981	1,000,000	1,000,000
1982	1,000,000	960,000

Program Goals and Objectives:

Public Law 92-506 authorizes the Secretary of Education to make grants to the Close Up Foundation of Arlington, Virginia, to help increase understanding of the Federal Government by secondary school students, their teachers, and the communities they represent.

Program Operations:

The program is a Washington-based political education program for secondary school students and their teachers. It consists of a week-long series of meetings, seminars and workshops with members of Congress, members of the Executive and Judicial branches of government, Congressional committee staff members, lobbyists, reporters, foreign government representatives, and others.

The Foundation program is community-based, i.e., local interest and support is required for participation in the program. Effort is made to match the Ellender Fellowship funds on at least a 50% basis by other public and private funds. Recipients are chosen by each school and criteria for selection vary from essay contests to interviews by teachers. In each participating community, an Ellender Fellowship is awarded to a student of low or moderate income and to a teacher from each secondary school.

Other participants receive grants from alternate sources of funds, pay their own expenses, or earn funds in school and community projects to cover expenses. Thus, a large group of students and teachers from a community, region or State, representative of all socioeconomic levels, comes to Washington together to learn about government and the democratic process and to develop an understanding of their areas' needs and concerns.

In an effort to reach additional secondary school students and teachers with citizenship education programs, the Close Up Foundation added a telecommunication series to its activities in 1979. From November 1980 to May 1981 CLOSE UP produced 120 half-hour programs televised from Capitol Hill featuring prominent national officials. Ten programs were produced where local students were able to call in their questions. The format included discussions with high school students, many of whom were Ellender Fellowship recipients participating in the Close Up Foundation Washington seminars. These programs were telecast over C-SPAN (Cable Satellite Public Affairs Network) with access through direct links or cassettes to over 2,000 secondary schools. Close Up also publishes written materials including a Teachers Guide to C-SPAN; Current Issues, a booklet that examines contemporary questions; and Perspectives, a book of readings on government operations with articles by leading members of Congress, representatives of the Executive and Judicial branches and others.

The program has also generated numerous State and local activities around the country which have involved many additional students and teachers in participating communities. CLOSE UP provides technical assistance and support to local education officials, business leaders and civic organizations who cooperate to develop government education programs that complement the Washington learning experience.

Program Scope:

Ellender Fellowship grants and community fellowships funded by the Close Up Foundation were made to approximately 4,000 students and teachers in 1981. The Ellender fellowships represented slightly less than 50% of the total number of fellowships. These grants included costs of room, board, tuition, administration, insurance and transportation and averaged about $504 per participant.

The Ellender recipients are the cornerstone around which each CLOSE UP area program is established. Through a multiplier effect created by a strong partnership in the private sector, the Ellender Fellowships helped to generate thousands of additional student participants. Including the Ellender recipients, a total of 13,800 students and teachers from 40 areas participated in the Washington CLOSE UP Program. Many thousands more participated at state and local levels in CLOSE UP government education programs.

Program Effectiveness and Progress:

The Close Up Foundation contracted with Social Education Associates in 1974-75 to conduct a preliminary impact assessment. On measures of affective change such as political awareness and interest in political affairs, students were shown to have undergone positive changes of a statistically significant nature.

Current Analytic Activities:

An internal evaluation program requires every student and teacher participant to complete a survey on the educational content of the program which generates data for program modification. A comprehensive evaluation program designed to measure long-term cognitive and behavioral effects was implemented by the Close Up Foundation and began during the 1980-81 program year. As a first step, a program review was conducted by the Social Science Education Consortium of Boulder, Colorado in conjunction wih the Social Studies Development Center at Indiana University. Representatives from these organizations intensively studied the program and interviewed participants. One conclusion drawn from their report states that "... CLOSE UP has developed a unique and exemplary approach for providing enriched, intensive instruction about the federal government. As a result of their one-week experience, students appear to acquire additional knowledge, to hold more positive attitudes about politics, and to feel more competent to participate in political activities."

Sources of Evaluation Data:

Close Up Foundation (see text). Arlington, VA.: 1981.

To Extend Support of Allen J. Ellender Fellowships. Hearings before the Subcommittee on Elementary, Secondary and Vocational Education of the Committee on Education and Labor, House of Representatives, 94th Congress, 2nd Session. Hearings held in Washington, D.C.: Government Printing Office, 1976.

For further information about program operations,

Contact: Gail Beaumont
202/245-2331

For further information about studies of program effectiveness,

Contact: Rhonda Lewis
202/245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Career Education
(CFDA No. 84.104)

Legislation: [1]

P.L. 95-207 (20 U.S.C. 2601)

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
1975	$ 15,000,000	$10,000,000
1976	15,000,000	10,135,000
1977	15,000,000	10,135,000
1978	15,000,000	10,135,000
1979	65,000,000	20,000,000[2]
1980	100,000,000	15,000,000[3]
1981	100,000,000	10,000,000
1982	—	9,600,000[4]

---

[1] During FY 75 this Program operated under the authority of the Cooperative Research Act. In FY 76 through FY 78 it operated under the Special Projects Act, Public Law 93-380, Sections 402 and 406. Under the latter Act, half of the Special Projects funds went directly to the Commissioner for use in contracts and the other half to the programs named in that Act, one of which was Career Education. P.L. 93-380 expired at the end of 1978 and the Congress passed the Career Education Incentive Act (P.L. 95-207) on December 13, 1977 to authorize funding beginning in FY 79 and ending in FY 83.

[2] The Congress originally appropriated $32.5 million for FY 79. After receiving a request to rescind these funds, the Congress cut the appropriation to $20 million. The conferees stated that the entire amount should be spent on the elementary and secondary career education provisions of the Act (Grades K-12).

[3] The Congress originally appropriated $20 million for FY 80. After receiving a recission request the Congress reduced the appropriation to $15 million, all of which was to be spent on the elementary and secondary career education provisions of the Act.

[4] The Career Education Incentive Act was revoked as of October 1, 1982 and then included in a block grant under Chapter 2 of the Education Consolidation and Improvement Act of 1981. Congress made a special appropriation for Career Education for FY 1982.

Program Goals and Objectives:

P.L. 95-207, the Career Education Incentive Act, is the implementation phase of the developmental work initiated under P.L. 93-380. Under that earlier legislation the Congress authorized a program which provided leadership in the development of career education and which put major emphasis on demonstrations of the best career education programs and practices and on developing State plans for implementing career education programs.

Public Law 95-207 became operative with the appropriation of funds for FY 79. In this Act, the Congress states that its purpose is "...to assist States and local educational agencies...in making education as preparation for work, and as a means of relating work values to other life roles and choices (such as family life), a major goal of all who teach and all who learn by increasing the emphasis they place on career awareness, exploration, decision making, and planning, and to do so in a manner which will promote equal opportunity in making career choices through the elimination of bias and stereotyping in such activities, including bias and stereotyping on account of race, sex, age, economic status, or handicap." The Regulations for "Career Education Incentive Programs," which were published in the Federal Register on October 17, 1979, summarize this purpose.

Program Operations:

Both maintenance of effort and matching are required in the State allotment program under the new legislation. To maintain effort in career education a State must spend from its own resources an amount at least equal to the amount the State spent for career education in the preceding fiscal year. The matching requirement provides that the cost of State administration of the Act may be 100% from Federal funds in FY 79, but the State must pay at least 25% for FY 80, and at least 50% for FY 81, and 82. Further matching provisions required that funds for State leadership and local educational agency programs be 100% Federal in FY 79 and 80. However, the State must pay 25% in FY 81, 50% in FY 82. The non-Federal share of the cost of State leadership and local implementation may come from State, local and private sources. It may include cash contributions, in-kind contributions, volunteer services, materials, and equipment.

No State may reserve more than 10% of the appropriated funds for providing State leadership activities listed in the Act, either directly or through arrangements with public agencies and private organizations. No State could reserve more than 10% of its funds for FY 79 and 5% of its funds for FY 80 through 82 for: (1) employing additional State educational agency personnel to administer and coordinate programs assisted under the Act, and (2) reviewing and revising the State plan. The unreserved funds must be distributed by the State to local educational agencies for comprehensive career education programs. At least 15% of the funds distributed to local educational agencies must be used for programs to develop and implement comprehensive career guidance, counseling, placement, and follow-up services using counselors, teachers, parents, and community resource personnel.

To obtain funds for comprehensive career education programs, a local educational agency must apply to its State agency. Each State agency will review the applications and may make payments to local educational agencies, to the extent practicable, on the basis of criteria established by the State agency and criteria in Section 8 (b) of the Act.

Unless a State is prohibited by law from providing services to students and teachers in private and non-profit schools, the State must make provisions for the effective participation on an equitable basis of private-school students and teachers in programs assisted under the Act. In States which are prohibited from providing such services, the Secretary of Education is responsible for making arrangements for the participation of private school students and teachers. Programs will be implemented in consultation with private school officials; however these funds will be administered by a public agency in the State.

Each State is required to submit an annual report to the Secretary on or before December 31 of each year except FY 79. The report will contain: (1) an analysis of the extent to which each objective in the State plan has been achieved, (2) a description of the extent to which State and local educational agencies are using both Federal and their own resources to achieve these objectives, and (3) a description of the programs funded within the State, including an analysis of reasons for their successes and/or failures.

In order to receive FY 79 funding under the new legislation each State Education Agency (including Insular areas) was required to submit, by June 14, 1979, a letter including assurances specified in the Federal Regulations. The amount of FY 79 funds distributed to the States in June and July, 1979 was $18.5 million. This represented the funds appropriated for FY 79 minus the set-asides allowed by the Law for discretionary use by the Secretary of Education. (The District of Columbia and Puerto Rico are included as States. The five insular areas received funding from the Secretary's discretionary funds with an amount equal to one percentum of the appropriation -- $200,000.)

To become eligible for further funding in FY 80 and beyond, each State and Insular area was required to submit a five-year plan for implementing career education in that State. These plans set out explicitly the objectives the State will seek to achieve by the end of each of the fiscal years for which funds are made available under the Act, describe how the funds will be used to implement the overall objectives in each fiscal year, set forth policies and procedures which the State will follow to assure equal access for all students, provide adequate assurance of complying with that part of the law which authorizes State and local activities, and provide proposed criteria for evaluating the extent to which the State achieves the objectives set out in its plan.

These P.L. 95-207 plans were based on the State plans developed earlier under P.L. 93-380. Funds were made available under P.L. 93-380 in FY 76 and 77 to enable each State and Insular area to prepare a five-year plan for implementing career education. Each State and Territory received a written evaluation of its plan during the period from March through May 1979. All States and Insular areas also received criteria and guidelines for adapting their plans to meet the requirements of the new Incentive Act, P.L. 95-207. (These evaluations were done under a contract with the Southwest Regional Laboratory for Educational Research and Development.)

Program Scope:

P.L. 95-207 makes State allotment funds available for 50 States, the District of Columbia and Puerto Rico. Allotment funds are made available for the Insular areas as a one-percent set-aside in the Secretary's discretionary fund. In the first year of operation of the Act, all of the States except one (New Mexico) and all five insular areas applied for and received FY 79 funds by sending in the required letters of assurance.

In FY 80, all of the States except three (New Mexico, Nevada, and South Dakota) submitted and received approval of their State plans for career education and applied for FY 80 State allotment funds. In addition, all of the insular areas except the Trust Territory of the Pacific submitted State plans and applied for FY 80 funds.

The law provides that the funds appropriated under P.L. 95-207 for the State allotment program are to be distributed among the participating States on the basis of the population aged 5 to 18. Accordingly, in August of 1980 a total of $13,875,000 of FY 80 funds was distributed to the participating States and a total of $150,000 was distributed to the four participating Insular areas. (This represents the funds appropriated for FY 80 minus the set-asides allowed by the law for discretionary use by the Secretary of Education.)

In the distribution of FY 80 funds, there were 16 States which received minimum allotments of approximately $128,000 each. Twenty States received between $129,000 and $300,000 each, six States received between $301,000 and $500,000 each, six received between $501,000 and $1,000,000 each, and one State received slightly over one million dollars.

In June of 1981, a total of $9,250,000 of FY 81 funding was distributed to the 47 participating States, the District of Columbia, and Puerto Rico. In addition, a total of $100,000 was distributed to the insular areas. (This represents the funds appropriated for FY 81 minus the set-asides allowed by the law for discretionary use by the Secretary of Education.)

In the distribution of FY 81 funding, there were 27 States which received minimal allotments of approximately $128,000 each. Fifteen States received between $129,000 and $300,000 each, five States received between $301,000 and $500,000 each, and two States received between $501,000 and $739,000.

Program Effectiveness and Progress:

A substantial amount of data on the effectiveness of local programs has been gathered since 1974 and has been reported in the Annual Evaluation Report for FY 78. As of the end of FY 80 there were 14 projects which had been judged exemplary by the Joint Dissemination Review Panel of the Department of Education. Information on these projects is being disseminated through ED's National Diffusion Network.

An evaluability assessment of the new program initiated under P.L. 95-207 was completed in FY 80 and has been reported in a document entitled Implementation of the Career Education Incentive Act: Interim Report on The Evaluability Assessment (ED-186-679). This study concluded that the P.L. 95-207 career education program is plausible and measurable. The study also developed an evaluable program model which contains 113 activity/outcome linkages, and the study identified, for each linkage, (a) the activity, (b) the intended outcome, (c) the measures, (d) the data source, (e) the quantifiability, (f) the potency, and (g) the collection and processing ease/ difficulty.

As a follow-on to the evaluability assessment completed in FY 1980, a rapid feedback evaluation was conducted in FY 1981, using the evaluable program model. Initial results of this effort were published in a document entitled Implementation of the Career Education Incentive Act: Interim Report on the Rapid Feedback Evaluation (ED-194-800). The final results were published in June of 1981 in a document entitled Implementation of The Career Education Incentive Act: Final Technical Report on the Rapid Feedback Evaluation. The overall conclusion of this evaluative effort was that P.L. 95-207 funds are serving the purposes envisioned by Congress when it enacted the Career Education Incentive Act.

Ongoing Analytic Activities

FY 1981 and FY 1982 funds, under Section 10 ("Model Programs") of P.L. 95-207, are being used to fund three contracts - one in a rural, one in a suburban, and one in an urban setting - each of which aims to demonstrate evaluation of truly comprehensive K-12 career education efforts using all 54 elements of the career education "treatment" found in A Primer for Career Education. In addition, the larger national evaluation report to be submitted to the Congress, based on a random sample of State programs funded under 95207, is underway and being conducted primarily as an inhouse activity. From FY 1982 funds made available under provisions of Section 5(a)(2)(C), it is planned that a contract may be let to supplement this inhouse activity.

Sources of Evaluation Data:

Mitchell, Anita M. Assessment of State Plans for Career Education: Final Report. Los Alamitos, California: Southwest Regional Laboratory for Educational Research and Development, July 1979 (ED-178-735).

Mitchell, Anita M. Model State Plan Characteristics: A Guide for Refining State Plans for Career Education. Los Alamitos, California: Southwest Regional Laboratory for Educational Research and Development, July 1979 (ED-178-736).

Jung, Steven M. and others. Implementation of the Career Education Incentive Act: Interim Report on the Evaluability Assessment. Palo Alto, California: American Institutes for Research, March 1980 (ED-186-679).

Jung, Steven M. and others. Implementation of the Career Education Incentive Act: Final Technical Report on the Rapid Feedback Evaluation. Palo Alto, California: American Institutes for Research, October 1980 (ED-194800).

Jung, Steven M. and others. Implementation of the Career Education Incentive Act: Final Technical Report on the Rapid Feedback Evaluation Palo Alto, California: American Institutes for Research, June 1981.

For further information about program operations,

Contact: Kenneth B. Hoyt
(202) 245-2284

For further information about studies of program effectiveness,

Contact: Tetsuo Okada
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Teacher Centers Program (CFDA No. 84.006)

Legislation:

Higher Education Act of 1965,
Section 532, Title IV-B, as amended
by P.L. 94-482, P.L. 95-561, P.L. 96-374,
Education Amendments as extended by the
Education Consolidation and Improvement Act
Act of 1981

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1977	$ 75,000,000	$ --
	1978	75,000,000	8,250,000
	1979	100,000,000	16,625,000
	1980	100,000,000	13,000,000
	1981	20,000,000	9,000,000
	1982	30,000,000	1/

Program Goals and Objectives:

The purpose of this program is to assist local educational agencies to plan, establish, and operate teacher centers, and institutions of higher education to operate teacher centers, where teachers, through Teacher Center Policy Boards, design and supervise program of curriculum development and inservice teacher training. This training should enable the teachers, and schools, to better meet the educational needs of their students.

Program Operations

Applications (after approval by the Teacher Center Policy Board) are submitted to the Secretary of Education through State educational agencies, which may screen out those that are unsuitable. Ten percent of the funds are awarded to institutions of higher education, 80 percent go to local educational agencies, and 10 percent go to State educational agencies to compensate them for screening the applications and for later providing technical assistance and dissemination services to the grantees. A recent amendment to the statute requires that at least one center be established in every State.

1/ Section 532 of Title V of the Higher Education Act of 1965 is included in a block grant under Chapter 2 of the Education Consolidation and Improvement Act of 1981. No individual dollar amount is specified for the program under the block grant.

The administering unit in ED stimulates sharing of experiences among the project directors by means of regional and national conferences, and facilitates the gathering of evaluative data by special funding of two teacher centers of expertise which in turn help the separate project directors.

Each center that performs satisfactorily may be funded annually for up to three years.

Program Scope:

During Fiscal Year 1980, the program's third year of operation, $411,354,400 supported 89 operational centers in 42 States, Guam and the District of Columbia. An amount of $345,600 funded 10 planning grants and $1,300,000 paid for States' program activities.

Program Effectiveness and Progress:

No overall evaluation study has been conducted on this program.

Current Analytic Activities:

No overall evaluation of the Teacher Centers Program has been undertaken by the Department of Education. Since 1978 there has been an intensive project at Syracuse University to document the organizational features and goverance of 55 of the 89 centers as well as the activities and services that those centers have provided to teachers.

Source of Data:

Program records.

Sam J. Yarger and Sally K. Mertens, Teacher Centers Program Documentation Study. Syracuse: Syracuse University, 1980.

Sally K. Mertens and Sam J. Yarger, Teacher Centers in Action. Syracuse: Syracuse University, 1981.

For further information about program operations,

Contact: Leroy Walser
(202) 472-5940

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:	**Expiration Date:**
Teacher Corps Program (CFDA No. 84.124)	September 30, 1981

Legislation:

Title V-A of the Higher Education Act
of 1965 (P.L. 89-329), as amended by
P.L. 90-35, P.L. 91-575, P.L. 91-230,
P.L. 93-318, P.L. 93-380 and P.L. 94-482

Funding History:

Year	Authorization	Appropriation
1966	$ 36,100,000	$ 9,500,000
1967	64,715,000	11,324,000
1968	33,000,000	13,500,000
1969	46,000,000	20,900,000
1970	80,000,000	21,737,000
1971	100,000,000	30,800,000
1972	100,000,000	37,435,000
1973	37,500,000	37,500,000
1974	37,500,000	37,500,000
1975	37,500,000	37,500,000
1976	37,500,000	37,500,000
1977	50,000,000	37,500,000
1978	75,000,000	37,500,000
1979	100,000,000	37,500,000
1980	100,000,000	30,000,000
1981	100,000,000	22,500,000
1982	22,500,000	1/

Program Goals and Objectives:

The purposes of Teacher Corps as stated in the legislation are to strenthen the educational opportunities available to children in areas having concentrations of low-income families, to encourage colleges and universities to broaden their programs of teacher preparation, and to encourage institutions of higher education and local education agencies to improve programs of training and retraining for teachers and teacher aides by --

(1) attracting and training qualified teachers who will be made available to local education agencies for teaching in such areas;

1/ This program was included in a block grant under Chapter 2 of the Education Consolidation and Improvement Act of 1981, P.L. 97-35.

(2) attracting and training inexperienced teacher interns who will be made available for teaching and inservice training to local education agencies in such areas in teams led by an experienced teacher;

(3) attracting volunteers to serve as part-time tutors or full-time instructional assistants in programs carried out by local education agencies and institutions of higher education serving such areas;

(4) attracting and training education personnel to provide relevant remedial, basic, and secondary educational training, including literacy and communication skills, for juvenile delinquents, youth offenders, and adult criminal offenders; and

(5) supporting demonstration, documentation, institutionalization, and dissemination of the results.

This last goal reflects several significant changes introduced by the Education Amendments of 1976. One major change was extending the two-year grant cycle of previous years to five years. A second was that each Teacher Corps Project will emphasize the demonstration of new programs and practices with linkages between preservice and inservice training and which involve the total faculty of a site school. Typical program elements include flexible models of teacher education based on performance criteria; the development of collaborative decision-making procedures that assure parity to the participating college or university, community served by the project, and local education agency; the development of a community component which seeks to lessen the distance between the institutions and community by providing educational services beyond the school walls and involving parents in the classroom program; the demonstration of a major teacher training framework (CBTE, multidisciplinary, research based, etc.) for the demonstration of an integrated program of training and retraining; and an emphasis on the improvement of management within the cooperating agencies of the delivery of education personnel and retraining services including planning, documentation, institutionalization, and dissemination.

In FY 78 Teacher Corps goals and objectives were expanded to include demonstration of training and retraining programs for all educational personnel in grades K-12, in institutions of higher education, and in communities served by these programs. These demonstration programs are to be implemented over a five-year grant period. Planning to meet this broader, more inclusive mandate began in FY 77 when grants were awarded to 81 projects in FY 78 and to 53 more projects in FY 79. Three were later discontinued.

Program Operation:

Grants are awarded to an institution of higher education and a local educational agency, either of which may be the prime grantee, to cooperatively mount and operate a project which will be managed collaboratively

All Teacher Corps projects are funded through competitive grants to achieve the legislated purpose and the four outcomes using the means specified in the Rules and Regulations and the strategies determined by the project.

Projects funded July 1978 are known as Program 78. New projects funded in 1979 are known as Program 79. There are 79 projects in their fourth year and 5 Program 79 projects in their third year. After Year 1 of each Program, grantees are eligible to have their grants renewed annually for the four subsequent years. After year 3 there will be diminishing levels of Federal funds since institutionalization of the activities using local funds is expected to begin.

The organization structure of the Teacher Corps is as follows: (a) the National Office within the U.S. Department of Education consisting of three Branches -- Management, Operations, and Development; (b) within a project to share information, guide the project, and provide community-based support -- an elected Community Council and a project policy Board (the nucleus on the Board must be the Dean of the IHE, the Superintendent of the LEA and the chairperson of the Community Council); (c) also at the local project level, all components collaborate.

The organization of a typical Teacher Corps project in the field usually includes at least one but not more than four schools (where elementary schools must be Title I eligible) within a feeder system; a team of at least four teacher-interns and one experienced teacher as a team leader; an elected community council having at least seven members; an institution of higher education; a local education agency, and other institutions and agencies such such as correction institutions, teacher organizations, professional association, social service agencies, and students.

Program Scope:

During Fiscal Year 1981, the Teacher Corps had 131 operational projects which included the 79 Program 78 projects and the 53 Program 79 projects. These projects are located in 123 school districts, 130 institutions of higher education, and seven State Departments of Education, including outlying regions and correctional institutions. Teacher Corps projects, through differentiated staffing and individualized instructional activities, directly affected the learning experience of approximately 520,000 children. Projects impacted on special clientele groups such as bilingual children, Indian children, and children in correction institutions. Teacher Corps also supported a special program which encouraged high school and college students, parents and other community residents to serve as tutors or instructional assistants for children in disadvantaged areas. In 1981, approximately 25,780 educational personnel are involved in Teacher Corps projects. Title V-A of the

Higher Education Act, Section 517 prohibits using Teacher Corps members to replace any teacher who would otherwise be employed. There is no provision for waivers of this requirement. Compliance is assured by the Teacher Corps regulations, State approval of the project proposal, and scrutiny by specialists on biannual site visits.

Program Effectiveness and Progress:

In 1978 an evaluation of Teacher Corps was initiated to study the five-year developmental process of the program. Consequently, the evaluation was designed as a five-year effort to correspond with the funding and implementation strategies of the program. A multiple design strategy was adopted requiring the use of traditional evaluation methods as well as case study and ethnographic methods. The first year of the evaluation was a planning year to match the first year of the program. Part of the evaluation activities of the second year included an implementation study of collaboration and multicultural education in Teacher Corps project. The development and multicultural education strategies were required by the legislation governing the Teacher Corps program. The study was initiated to describe (1) the process by which people learn to appreciate and get along in several cultures and (2) the dynamics developed among schools, institutions of higher education, community advisory groups, and other participants involved in designing and implementing Teacher Corps projects. The study utilized ethnographic case study methodology in four Teacher Corps sites funded in 1978.

The study completed by SRI International in 1980 found that most serious impediment to the development of multicultural education programs in the sites studied was the participants' misunderstanding of goals and objectives of multicultural education. Of the participants interviewed and and observed, it seems as though no one -- from the Washington staff to the local project staff -- has a thorough understanding of the conceptual basis of multicultural education. This limits their effectiveness in developing and implementing multiculultural education components. The local project must overcome the strong resistance to multicultural education components. The local project must overcome the strong resistance to multicultural education that results from the belief that multicultural education is an "add on", a belief which is based on a misunderstanding of its purpose, ignorance of its goals, or racial-ethnic prejudices.

One finding in the final report completed in 1982 noted that increasing the complexity of the local project by requiring collaboration appears to enhance the chance of effective local action. It was found that prior experience in Teacher Corps or similar projects facilitated implementation efforts; some projects had conscientiously continue to build their capabilities over periods as long as 10 years. The addition of funds such as those provided by Teacher Corps accelerated the maturation process within the project.

An overall conclusion is hat policy in the form of agency guidelines can contribute to improved practices at the local level, but guidelines must be adapted to the local context in order to do so.

Current Analytic Activities:

Teacher Corps projects began their 5-year grant periods in early Summer of 1978. A comprehensive longitudinal evaluation of the new program was developed by the Office of Program Evaluation and a contract awarded in August [illegible] SRI International for the implementation of the evaluation.

The focus of this evaluation is on Program 78 and Program 79 Teacher Corps projects. The work to be performed required the development of a five-year evaluation design. The initial procurement covered the first three years of evaluation activities. The five-year evaluation was to be conducted in three phases: (1) planning, (2) operations, and (3) analysis and reporting. The period of performance under Phases I and II, Development and Operation, was for 36 months from the date of award. Phase III, Institutionalization and Adaptation was designed to be an option and if exercised was to have Because of fiscal constraints the evaluation was limited to the first three years.

Source of Data:

1. Annual operational data collected by the Teacher Corps Program.
2. SRI International, "Teacher Corps: An Implementation Study of Collaboration and Multicultural Education", 1980.
3. SRI International, "Technical Status Report on Staff Development", 1982.
4. SRI International, "Policy Framework for Local Action Lessons from Implementing the Teacher Corps Guidelines", 1981 (2 volumes)

For further information about program operation,

Contact: John A. Minor
(202) 653-8320

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name: Financial Assistance to Local Education Agencies and Indian-Controlled Schools for the Education of Indian Children-Part A (CFDA Nos. 84.060, 84.072)

Legislation:

Indian Education Act
P.L. 92-318, Title IV, Part A

Expiration Date:

September 30, 1984

Funding History:

Year	Authorization	Appropriation
FY 73	$196,177,204	$11,500,000
FY 74	208,000,000	25,000,000
FY 75	235,000,000	25,000,000
FY 76	441,242,000	35,000,000
FY 77	476,263,078	37,000,000
FY 78	555,000,000	38,850,000
FY 79	640,297,800	48,000,000
FY 80	640,297,800	52,000,000
FY 81	722,214,792	58,250,000
FY 82	722,214,792 1/	54,960,000

Program Goals and Objectives

Part A of the Indian Education Act addresses the special educational and culturally related academic needs of Indian children enrolled in public elementary and secondary schools and in Indian-controlled schools.

Objectives for the Part A program include: (1) broadening and improving the educational opportunities available to Indian children; (2) improving the academic performance of Indian children in the public schools; (3) reducing dropout rates and improving attendance; (4) increasing Indian parental participation in the education of their children; and (5) helping schools become more responsive to the cultural and educational needs of Indian children.

Project activities are numerous and varied but may be grouped as follows:

- Basic Skills: About 74 per cent of the projects have activities in this area, including tutoring and instruction in mathematics and reading.

1/ These authorization levels are based on State-by-State per pupil expenditures and are subject to revision when updated data are available.

- o Cultural Heritage Awareness: Approximately 72 percent of the projects report activities in this category, including Indian language, bilingual education, and Indian history and culture.

- o Academic Support Services: About 51 percent of the project provides services such as guidance and counseling, career awareness, library services, and home-school liaison services.

In addition, Part A, unlike other Federal compensatory education programs, reaches junior and high school students as well as younger children. In 1980, at least 75 percent of the projects had components for secondary students. The role of the parents in Part A projects projects is perhaps the program's most important feature. The statute mandates that elected parent committees play an active role in every aspect of the project, including determining the needs of the students and designing and evaluating the projects. The Department does not award a grant to an LEA unless its application has been approved by the parent committee for that LEA.

Five Resource and Evaluation Centers provide technical assistance and disseminate information to Indian education projects and applicants. The centers conduct workshops, make site visits and prepare and distribute materials. The centers were in their first year of operation in fiscal year 1981. They conducted 210 workshops, including two national conferences, made 713 site visits, developed and distributed technical assistance guides for 1,198 Title IV projects; developed management, evaluation and project design standards; and coordinated technical assistance services from more than 75 regional and State education agencies.

To ensure that program funds are addressing the special educational needs of Indian children as specified in the legislation, a technical and quality review of applications for entitlement and discretionary programs is conducted by the Indian Education Programs office. During the period of project performance, as program administration resources permit, site visits are made to selected project sites and technical assistance is offered to projects requesting it.

In February 1981, the Indian Education Programs office began an intensive effort to achieveits "rolling audit mandate" of one-third of fiscal year 1980 Part A projects as required by Congress under section 1149. In August 1982, the Indian Education office reported that 355 rolling audits of fiscal year 1981 projects will be completed by September 30, 1982; 351 audits satisfy the requirements of section 1149. By September, it had audited 104, 28 percent of the number required. Findings from the audit report are reported in the effectiveness section.

Program Operations

Part A grants are made: (1) on a formula basis to local educational agencies, and (2) on a competitive basis to Indian-controlled schools on or near reservations. The amount of a grant to an LEA is based on a formula that multiplies the number of Indian students enrolled in the LEA by the State average per pupil expenditure. The grant is then ratably reduced according to available appropriations.

As a result of the Education Amendments of 1978 (P.L. 95-561), certain tribal schools are treated as LEAs and can thus receive formula grants under this program. In order to qualify for a formula grant, a tribal school must be operated by a tribe or an Indian organization controlled or sanctioned by a tribe and either (1) be operated under contract with the Bureau of Indian Affairs (BIA), or (2) meet standards established by the BIA in accordance with P.L. 95-561.

The Indian-controlled Schools program is authorized by a set-aside of an amount not to exceed 10 percent of the Part A formula program. Tribes and Indian organizations that operate schools on or near reservations may compete in two areas: (1) for funds to help get a school started and become establishes; and (2) for funds to develop special enrichment programs that are supplemental to an already established program. Many, but not all of these schools are also eligible for formula grants, which are generally considerably smaller than the discretionary grants.

Project Scope:

The number of public school districts participating has increased from 435 in fiscal year 1973 to 1,118 in fiscal year 1982. The percentage of Indian children serviced by Part A grants has grown from 59 percent in 1973 to nearly 80 percent. Currently, during school year 1981-82, the Part A formula program reaches more than 300,000 Indian children, an increase of 164,700 since the program started.

In fiscal year 1982, 38 tribal schools received grants to serve 7,258 students. Twenty-eight Indian-controlled schools received an average of $162,179 to serve 9,893 students, under a 9 percent set-aside for discretionary grants.

Program Effectiveness and Progress:

A national descriptive study of projects funded under Part A was completed in November, 1978.

This study was performed by Communication Technology Corporation of Marlton, New Jersey, under contract (300-76-0397) to the U.S. Office of Education's Office of Evaluation and Dissemination. The principal findings of the study are as follows:

- o Reading programs, mathematics programs, cultural heritage programs, and counseling and guidance programs were rated effective by project directors and project staff in approximately 90 percent of the sampled districts in: (1) overcoming Indian students' academic difficulties; (2) improving Indian students' attitudes toward school; and (3) developing more favorable self-concepts in Indian students.

- o Factors, reported by school districts as contributing to educational problems of Indian children in order of frequency reported were: (1) adverse home environment (74%); (2) lack of motivation (69%): (3) deficient early education (69%); (4) negative peer group influence (64%); (5) nutritional problems (50%); (6) ethnic discrimination (48.8%); and (7) health problems (45%).

- o Generally, the parent committees were involved in a wide range of policy and managerial activities. These activities included staffing recommendations, puublic relations, proposal development, budget review, conduct of needs assessment, proposal review and final report review, curriculum decisions, pupil selection, establishment of project objectives, project monitoring, project evaluations, and final report development.

- o Projects in urban districts tended to be rated more effective in overcoming academic difficulties and providing supplementary services. This may be partially attributable to the organized approach taken toward the administration of funds and the sophistication of the staff. Staff time spent on projects is somewhat greater in urban districts than in rural districts.

- o Rural districts with a high density of Indian population were rated the next most effective in overcoming academic difficulties and providing supplementary services. This may be due to the larger number of children available for project enrollment and the resulting higher funding level.

- o The staff and parents rated 75 percent of the districts as being at least moderately effective in overcoming academic difficulties, providing supplementary services, improving attitudes toward school and developing more favorable self-concepts. Also, 50 percent of projects were rated effective by the staff and parents in improving staff attitudes toward Native American pupils and improving non-Native American pupil attitudes toward Native American pupils.

- o The data analyzed revealed that, in the vast majority of the districts, there were staff involvement and program improvements in the areas of academic achievement, Native-American language and cultural heritage, counseling and guidance, attendance, self-concepts, responsibility and self-direction, and in attitudes toward school.

The Report to the Congress on the Annual Program Audits for Fiscal Year 1980 concludes that Part A projects are meeting the special education needs of Indian children and are of substantial quality. As evidence of success for the Indian students involved, the report notes increases in test scores, increases in school attendance rates and decreases in the rates at which Indian students drop out of schools.

Current Analytic Activities

A major study to evaluate the impact of the Part A Entitlement Program was started in 1980 and the final report is due in February 1983. The study is designed to address eight major research questions. They are as follows:

- o What are the organizational, fiscal, and human resources available to Part A projects, and how do projects utilize these resources?
- o To what extent do the objectives of projects funded under the Part A Entitlement Program address the special educational and/or culturally related academic needs of American Indian/Alaska Native children?
- o How have Part A project activities been implemented?
- o What are the impacts of Part A projects on American Indian/Alaska Native students?
- o What impacts do Part A projects have on the Parents of American Indian/Alaska Native children and on the American Indian/Alaskan Native communities projects serve?
- o What impacts do Part A projects have upon their LEAs?
- o How do federal-level activities, especially those of the Indian Education Programs office affect Part A projects?
- o What is the total amount of federal education funds expended by local school districts on Indian students in grades K-12 and how many of these students are receiving various types of special services?

Additional information is being prepared from census data and a compilation of Indian certification forms to provide further information for the mandated Indian Definition Study.

Sources of Evaluation Data:

A National Evaluation Survey of Projects Funded under Part A of the Indian Education Act of 1972. (Communications Technology Corporation, 1978).

The Report to the Congress on the Annual Program Audits for Fiscal Year 1980.

Program materials

For further information about program operation,

Contact: Walter Steidle
(202) 245-8236

For further information about studies of program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Programs and Projects to Improve Educational Opportunities for Indian Students - Part B (CFDA Nos. 84.087, 84.061)

Legislation:

Indian Education Act
Public Law 92-318, Title IV, Part B

Expiration Date:

September 30, 1984

Funding History:

Year	Authorization	Appropriation
1973	$ 25,000,000	$ 5,000,000
1974	35,000,000	12,000,000
1975	35,000,000 1/	12,000,000
1976	35,000,000 1/	16,000,000
1977	37,000,000 1/	14,000,000
1978	37,000,000 1/	14,000,000
1979	45,000,000 1/	15,500,000
1980	45,000,000 1/	15,600,000
1981	45,000,000 1/	14,500,000
1982	45,000,000 1/	14,880,000

Program Goals and Objectives:

One of the underlying assumptions of the Indian Education Act is that education for Indians improves when Indians themselves are directly involved in administering the programs that affect them. Part B of the Indian Education Act serves the twin goals of improving the quality of educational programs for Indians and enabling Indian people and their tribal organiations to assume responsibility for the direction of their own educational programs.

Part B is the most versatile of all the Indian Education Act programs because it: 1) allows tribes and Indian organizations to target funds where the needs are the greatest; 2) encourages the development of innovative methods and materials that will be of benefit to potentially large number of Indian children; and 3) increases the numbers of Indians in professional fields.

Grants under Part B are awarded on a competitive basis to tribes, Indian organizations, institutions of higher education, and individuals. Specific activities are as follows: (1) planning, pilot, and demonstration projects

---

1/ In addition to the authorized amount, up to 200 fellowships can be awarded. See program scope section for actual awards and areas of fellowship awards.

designed to test and demonstrate effectiveness of programs for improving educational opportunities for Indian children, such as bilingual/bicultural educational programs and programs dealing with special health, social, and psychological problems of Indian children; (2) establishment and operation of programs designed to stimulate the provision of educational services not available to Indian children in sufficient quantity and or quality; (3) preservice and inservice training programs to improve the qualifications for persons serving Indian children, such as teachers, teacher aides, social workers, and other educational personnel; (4) establishing resource and evaluation centers designed to provide specialized technical services to grantees, evaluate the effectiveness of programs, and disseminate information on successful practices, and (5) national dissemination of information concerning education programs and services available to Indian children and evaluation of the effectiveness of federally assisted programs in which Indian children participate.

Long-range program goals of Part B are to improve educational opportunities for Indian students from preschool through the university level by supporting programs that:

(a) Provide improved educational services
(b) Increase the number of Indians in leadership positions
(c) Develop new educational approaches of high quality
(d) Contribute to increased control by Indians over the availability and quality of their own education.

Immediate goals of the Part B are:

(a) Fund demonstration and service projects in areas identified as priority by the Indian community, such as early childhood education and special education.

(b) Support technical assistance efforts on a limited scale, to test feasibility of a large, national approach covering all States.

(c) Continue to provide educational personnel training and fellowship in designated professional fields to improve qualifications of Indians and develop leaders in the Indian community.

Program Operations:

Grant awards for demonstration, service, and education personnel training; fellowship awards to graduate and undergraduate Indian students in selected professional degree areas; and contracts for the regional technical resource centers are made on the basis of national competition. Eligible applicants for the demonstration program include State and local education agencies, federally supported schools for Indian children, and Indian tribes, organizations, and institutions. Eligible applicants for service projects include State and local educational agencies and tribal and Indian community organizations. Eligible applicants for educational personnel training projects authorized under Section 422(a) are Indian tribes and organizations and institutions of higher education.

In approving applications under Part B, preference is given to Indian tribes, organizations, and institutions, as required by law. Actual implementation of this provision has resulted in no awards being given to other types of organizations, with the exception of higher education institutions applying for Section 1005(d) funds.

Each type of program has an associated set of criteria for selection. Demonstration projects require that applicants include evidence that their projects are likely to serve as models for others and have more elaborate plans for evaluation. Annual priority areas may be selected by the Secretary. Selection of criteria for service projects give considerable weight to the lack of comparable services in the area and the degree of need. Education personnel training projects must show commitment to Indian education.

Fellowship applicants are evaluated on the basis of financial need, academic record, other evidence of potential success, and likelihood of service to Indians on completion of the program. Individuals may apply for fellowships as long as they are Indian and meet the eligibility requirements established by regulations.

Program Scope:

In 1980, 205 Part B applications were received and 61 Part B grants were awarded. The approved projects dealt with the development of bilingual/bicultural programs, instructional materials and media centers, compensatory education, cultural enrichment, dropout prevention, and vocational training. In addition, 192 fellowships were awarded to students attending institutions in 34 States and the District of Columbia. The awards were made in the areas of medicine, law, education, business administration, engineering, natural resources, and related fields. Awards for FY 1982 are still being negotiated at the time this report was prepared.

Five technical resource centers were funded in 1980 to provide technical assistance to all projects funded under Title IV. Now in their second year of operation centers conduct workshops with project staff and parent groups in their region to improve project management, including needs assessment and evaluation activities.

Program Progress and Effectiveness:

Programs funded during FY 1979 were examined in a recently completed study of "The Impact of Programs and Projects funded under Parts B and C of the Indian Education Act." Programs were funded under three major categories provided by the Act: Planning, Pilot and Demonstration, Educational Services and Educational Personal Development.

Planning, Pilot and Demonstration Programs: Early childhood education, career development and curriculum development made the greatest impact of the eight program types funded under this authority, according to the study. Innovative programs in special education and counseling, however, should still continue to have high priority.

Some programs have less discernable impacts than others, because of the severity of the problems in the communities where Part B projects are located. For example, analysis shows that Part B projects made their greatest impact in settings which had a large percentage of Indians, a large percentage of unemployed but had a low percentage of persons with bilingual needs and a low percentage of persons under the poverty level. (Since all reservations have a higher percentage of persons unemployed than non-reservation settings, the unemployment level becomes a confounding factor across all data.) However, the low percentage of persons with bilingual needs and the low percentage of poverty probably represents settings where the needs are not too severe to overcome with the small-scale sized of programs generally funded under this authority. Potentially the bilingual needs and the poverty levels within the settings indicate the need of improved supportive services.

Strong community support appeared to be the most powerful factor associated with impact. The presence of culturally relevant materials and the cooperation of the local school were factors associated with academic areas of impact. Indian staff was directly associated with the impact in areas of self-concept, attitudinal and cultural measures of impact.

Educational Services. These are primarily supplemental programs designed to provide services, such as remedial education, school health and psychological services to encourage Indian children to enter, train in, or re-enter school at K-12 levels. Projects are funded in locations where educational needs are not being met in sufficient quantity or quality.

Most of these programs are located in communities where three-quarters or more of the population are Indian. Seventy-four percent of the project directors are Indian and 87 percent of the staff were Indian.

Educational services projects were generally multicomponent projects which were targeted at a specific population, such as early childhood or special education, but also included projects with bilingual/bicultural, career development, counseling and curriculum development projects or part of a comprehensive educational model.

Major project accomplishments included: participation and involvement of the community increased, basic skills of participants improved, curriculum and culturally related materials were developed and disseminated, participants' attitude toward school and motivation to achieve approved facilities in which projects were conducted were improved. Types of services reported effective include: early childhood, curriculum development, comprehensive education model and special education projects.

Educational Personnel Development Projects: Part B projects promote the ability of Indians to become educated and productive citizens and exercise leadership in the Indian community according to a recent study, The Tracking of Higher Education Students Supported Under the Indian Education Act. The study reports that the average age of participants when they first enter higher education programs supported by Part B is higher than for most students: 27 years for Fellowship students and 30 years for those in the Educational Personnel Development projects.

The Fellowship program has a 68.8 percent completion rate for individuals earning degrees, compared with the 18 percent completion rate for all Indian undergraduates reported in a 1978 GAO study of Indian college students. Of the fellows who earned degrees, 96.5 percent were employed after graduation.

An evaluation of the Resource and Evaluation centers is planned to begin in fiscal year 1982.

Current Analytic Activities:

An Evaluability Assessment of Part B and C Programs is in progress.

Source of Evaluation Data:

Impact Study of Parts B and C of the Indian Education Act, Communications Technology Corporation, 1981

The Tracking of Higher Education Students Supported Under the Indian Education Act, Native American Research Institute, 1981

For further information about program operation,

Contact: Walter Steidle
(202) 245-8236

For further information about studies of program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Programs Relating to Adult Education for Indians - Part C (CFDA No. 84.062)

Legislation:

Indian Education Act
P.L. 92-318, Title IV, Part C

Expiration Date:

September 30, 1984

Funding History:

Year	Authorization	Appropriation
1973	$ 5,000,000	$ 500,000
1974	8,000,000	3,000,000
1975	8,000,000	3,000,000
1976	8,000,000	4,000,000
1977	8,000,000	4,200,000
1978	8,000,000	4,410,000
1979	8,000,000	5,930,000
1980	8,000,000	5,830,000
1981	8,000,000	5,430,000
1982	8,000,000	5,213,000

Program Goals and Objectives:

The purpose of Part C is to improve educational opportunities below the college level for Indian adults. Objectives of the program are: 1) decrease the rate of illiteracy among Indian adults; 2) increase the mastery of basic skills among Indian adults in order to increase their employment and educational opportunities; 3) increase the number of Indian adults who pass high school equivalency examinations; and 4) stimulate the development of programs and curriculum materials that are relevant to the culture and heritage of Indian adults.

Part C activities are designed to address educational needs of Indian adults by increasing the availability of basic and secondary education and improving the quality of the programs by using Indian culture as a foundation for learning. Part C supports two types of projects:

Educational Service projects are designed to address locally identified needs of Indian adults. Projects focus on adult basic education to develop literacy and basic skills and on secondary, education, including preparation for the high school equivalency examinations. Many projects offer consumer education and career counseling, aptitude and vocational testing, job referral and child care services. As a foundation for learning basic skills, teaching methods and approaches are drawn from Indian culture, but materials also include those with immediate practical relevance for any adult, such as sales contracts, licenses, nutrition and health.

Planning, Pilot and Demonstration projects not only address locally identified needs of Indian adults, but are also designed to test and demonstrate innovative approaches to meeting those needs. Projects focus on teaching literacy and basic skills to hard-to-reach Indian adults and include appropriate methods of documenting participants' accomplishments.

Program Operations:

Eligible applicants are: State education agencies, local education agencies, Indian tribes, organizations and institutions. Grants are awarded on the basis of national competition. Applicants may propose to carry out projects for up to three years. Grant awards are made for a single year with continuation awards for the second or third year subject to satisfactory performance and availability of appropriations. Applications are reviewed by a panel of outside field readers and agency specialists. Awards are based on criteria specified in the regulations of the Indian Education Act. For demonstration projects, special weight is given to evaluation methodology and project design; for service projects, emphasis is placed on the degree of need and lack of comparable services.

Program Scope:

The Part C program has grown considerably from 1973 when a total of $.5 million was awarded to 10 projects. In fiscal year 1981, 50 awards were made for a total of $5.4 million to reach over 15,700 participants. Part C projects are located in urban areas as well as in remote rural areas and on reservations.

Program Progress and Effectiveness:

Adult education programs funded under Part C enrolled 17,054 participants in FY 1979. Data about who these enrollees are and what happened to them are reported in the recently completed study of the "Impact of Projects Funded under Parts B and C".

The study indicates that 39 percent of the adults in these programs had not progressed beyond elementary school. Fifty-three per cent had at least some high school education and 3 percent had been to college. Five percent had never attended school before participation in the project. One-third reported that they spoke a language other than English. Most enrolled to upgrade their educational level and to improve their chances to get a job.

Evidence from the study indicates that adults have had positive accomplishments as a result of their participation in the program. During FY 79, 72 percent of those enrolled in Adult Basic Education programs funded under Part C completed the project and improved basic education skills. Of those students enrolled in G.E.D. activities, 28 percent or (984) received their G.E.D. and, of these, 422 (or 43 percent) attained better jobs because of their success in completing the G.E.D. Of those adults enrolled in activities leading to postsecondary education, 180 or (24 per cent, went to college and 203 (or 24 percent) continued in another type of postsecondary program. (These figures may be higher because projects were not always able to provide complete follow-up data).

While projects are designed to meet local needs as identified by Indian adults, school administrators and staff, tribal leaders and others, the most frequently reported needs include vocational development and job training (which is not allowable under Part C). Other needs frequently mentioned: remedial reading and mathematics; opportunities for educational advancement; history of Indian/tribal culture; consumer education; self-concept development and health care.

While the Part C projects may be making some progress on literacy levels, education statement levels and English proficiency levels, the continuing problems is unemployment as one third (33 percent) of the Indian communities report the unemployment levels of the total labor force in these communities as over 50 percent.

Seventy-four percent of the project directors were Indian and 70 percent of the staff interviewed were Indian. These factors (Indian staff) correlate highly with the ability of projects to increase participant enrollment and a corresponding decrease of participant attrition. Other key variables include: culturally relevant curriculum and materials and community and tribal participation and support.

Current Analytic Activities:

An Evaluability Assessment of Parts B and C is in progress.

Sources of Evaluation Data:

An Impact Study of Parts B and C Programs and Projects Funded Under Title IV, The Indian Education Act. Communication Technology Corporation, April 1981.

Program Review Materials

Program Audits

For further information about program operation,

Contact: Walter Steidle
(202) 245-8236

For further information about studies of program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Alcohol and Drug Abuse Education (CFDA No. 84.008)

Legislation:	Expiration Date
The Alcohol and Drug Abuse Education Act of 1974 and Education Amendments of 1978, Public Law 95-336.	September 30, 1982
Chapter 2 of the Education Consolidation and Improvement Act of 1981. Of the total amount appropriated, six (6) percent is reserved for the Secretary's Discretionary Funds. The Alcohol and Drug Abuse Program is one of the programs authorized in the Discretionary Fund.	October 1, 1982 - September 30, 1985

Funding History:

Year	Authorization	Appropriation
1971	$ 10,000,000	$ 5,610,000
1972	20,000,000	12,400,000
1973	28,000,000	12,400,000
1974	28,000,000	6,700,000
1975	26,000,000	4,000,000
1976	30,000,000	2,000,000
1977	34,000,000	2,000,000
1978	34,000,000	2,000,000
1979	10,000,000	2,000,000
1980	14,000,000	3,000,000
1981	18,000,000	2,850,000
1982	18,000,000	2,850,000

Program Goals and Objectives:

The principal purpose of the program as defined by the authorizing Act is to help schools and communities assess and respond to alcohol and drug abuse by becoming aware of the complex nature of the problems, and to prepare them for developing strategies aimed at its causes rather than merely its symptoms. The program strongly encourages a coordinated school-community effort in preventive education with an emphasis on reducing the socially disruptive behaviors often associated with abuse.

In addition to the goals and objectives specified in the legislation, the following statement of goals further specifies the program's purpose: Goal 1 -- identify, demonstrate, evaluate, and disseminate effective strategies for alcohol and drug abuse prevention, and Goal 2 -- to train teams of school administrators, teachers, counselors, parents, students, law enforcement officials and other public service and community leaders to prevent or reduce destructive behavior associated with alcohol and drug abuse. The program is, therefore, primarily a training and demonstration program through which local agencies provide direct services to youth.

Program Operations:

This program is authorized to make grants and contracts for a wide variety of activities which can be generally categorized as preventive education. Currently, the bulk ($2,690,000) of program funds supports five regional training resources centers. The remaining funds support a National Data Base and Program Support project and an evaluation of the program.

Through the regional training centers, the School Team Approach program is implementing a strategy which it describes as "team training teams." It is hoped that the strategy will achieve a multiplier effect through a two-step process: (1) Teams are trained in "cluster" rather than in geographically unrelated groups. (A geographically related cluster is comprised of a team from a high school joined with teams representing the elementary, middle, and/or junior high schools feeding into that high school.) (2) Then, the most impressive trainees in these clusters become, through further training and on-site technical assistance, new trainers for other schools and groups of schools in their district or community, while continuing to receive some technical assistance from Federal program.

Program Scope:

In recent years the program has restricted its support primarily to training, technical assistance, and dissemination through the five regional centers.

Program Effectiveness and Progress:

From a recent survey of ten communities throughout the United States, school-based Alcohol and Drug Abuse Education Program (ADAEP) teams report that:

- Student drug and alcohol use continues to be a major school problem.
- There are some indications that prevalence of this use has peaked.
- School prevention programs should include peer activities and problem-solving techniques as a part of the educational approaches.
- The school team approach is a useful model for implementing program activities.

Working with teachers, students and school administrators, the teams also report improvement in student deportment, student-teacher relationships, and relationship between teachers and their collegues.

This survey of team school districts with cluster teams which were initiated in 1977-78 and of all the cluster team members trained in that fiscal year was conducted in response to a congressional mandate to evaluate the ADAEP program of the Department of Education.

Clusters consist of teams of five persons from four organizationally related schools; for example, a high school and three feeder schools. Approximately, 80 clusters and 400 school teams comprised the programs funded by ADAEP in the 1977-78 school year.

The team members expressed their opinions concerning the team and clusters approach, and about their experience as a team member. The most frequently mentioned advantages were: team members are first-hand problem-solvers; the cluster approach provides unity and support across the school system. The most rewarding experience as a team member is working with the team members; the most frustrating experiences approve of the concepts of the team and cluster and support the continuation of the approach.

Most of the coordinators reported that the member teams functioned autonomously rather than as one large group. There appeared to be more identification with the school team than with the cluster.

Respondents agree on the top five student problems: truancy/tardiness, low achievement, disrespect for teachers, cigarette smoking, drug use, and alcohol use. The respondents also listed these problems as focal points of team activity. Cluster coordinators reported that there had been efforts to assess the extent of alcohol and drug use by students in eight out of ten of the schools. The assessment activities were usually conducted by some other group, and the sophistication of the studies varied.

From a list of thirty-five items which might be included in a drug and alcohol prevention program, there was unanimous agreement by the administrators concerning the appropriateness of eleven activities. These were assertiveness training, development of plans for prevention programs, interpersonal relationships, leadership skills, positive discipline, referrals/resources for juvenile problems, self-awareness/self-control building, self-esteem/self-worth building, special programs for target groups, value clarification, and identification of student drug use.

To a question concerning opinions about appropriate school roles in drug and alcohol abuse prevention, the responses varied. Peer programs, development of affective skills, and problem-solving techniques were the most frequent answers. Counseling and referral programs and idenfification of problem youth were mentioned. Working with parents and others in the community was seen as appropriate by about ten percent of the respondents. A variety of other activities related to school environment and discipline was suggested. Nearly a fourth of the participants did not respond to the question.

It appears from the analysis of study responses that there were identifiable improvements in some school characteristics during the period of the study. Teacher-related characteristics -- teacher interaction, communication among teachers and staff, and teacher administrator relationships -- were defined as improved. Student deportment, student-teacher rapport, and disciplinary policies were seen as improved by the active team members.

It is difficult to ascertain whether improvement in classroom environment, in method used, or in teacher-problem student relationships are due to cluster team activities. Although a significant number of teachers reported changes during the past 3 years, only a small percentage of the respondents ascribed the changes to the ADAEP team activities.

Alcohol beverage use among high school students is common, according to authoriative studies. This use is perceived to be causing problems among students by slightly less than half of the total number of study respondents. Although the percent of respondents perceiving an increase in alcohol use by young people was about equal to those who perceived no change, the national data indicate that use by seniors has leveled off at about 88 percent during the past year. Drug use response patterns are similar to those related to alcohol use. A majority of respondents express the opinion that drug use is a problem in their schools. Most respondents viewed the extent of the problem as remaining constant. Individual clusters in general did not show much success in abating problems associated with drug and alcohol use. One cluster reports a decrease in both alcohol and drug abuse problem. Two clusters reported a decrease in drug problems only.

Premise of the ADAEP program is: local problems require local solutions using local resources. RTC activities are intended to assist teams from schools to identify their schools' problems and resources, to develop plans which address the problems, and to develop the necessary skills to implement these plans.

Update:

In 1980, the Program initiated a very specific approach to the problems of alcohol and drug abuse on the school campus. Target schools are now junior high and high schools only, where well-defined problems exist. Under the new plan OADAE will gather data on the effectiveness of its new program thrust, which moves away from primary prevention and more toward specific intervention in problems of alcohol and drug abuse and related disruptive behaviors in schools.

In 1980, also, with more and more research as well as program experience indicating that the leadership of the principal is the key to dealing with problems in the school, the program began to focus on the principal as a team leader. To assist the principal and the administrative team to deal effectively with the problems of alcohol and drug abuse and disruptive behaviors in the school, the program has adopted an "Organization Approach." Such an approach takes the whole community agencies as it assesses problems and prescribes solutions. Just as important, the approach involves the district superintendent at the very outset when the Regional Training Center begins a relationship with a school district.

Ongoing and Planned Evaluation Studies

A major multi-year evaluation by the Social Action Research Center of an interagency progrma conducted jointly with the Law Enforcement Assistance Administration to prevent and reduce school crime and violence found that the School Team Approach, when implemented effectively, can contribute to the reduction of school crime and disruption. The evaluation was begun in 1977 and impact data are expected in August 1982.

The program is using a combination of prevention and intervention strategies and has installed a new evaluation in 1981 that integrates all components of the program, is monitored by an independent researcher and is designed to produce impact data on the reduction in alcohol and drug abuse and related disruptive behaviors.

Source of Evaluation Data:

"Universe Survey of FY 1974 HCHT Teams", E. H. White and Co., San Francisco, September 1975.

"An Evaluation of the School Team Approach for Drug Abuse Prevention and Early Intervention," American Institutes for Research, Washington, D.C. 1976.

House of Representatives Report No. 95-884, February 16, 1978.

"The School Team Approach Phase @ Evaluation," Social Action Research Center, San Rafael, California, January 1981.

"An Impact Study of Personnel Trained by the Alcohol and Drug Abuse Education Program," A.T. Kearney, Inc., Alexandria, Virginia, May 1981.

For further information about program operation,

Contact: Myles Doherty
(202) 472-7777

For further information about program effectiveness,

Contact: Paul Messier
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Ethnic Heritage Studies Program
(CFDA No. 84.070)

Legislation:

Elementary and Secondary Education Act of 1965, Title IX, Part E, as amended under Public Law 92-318, Public Law 93-380, and Public Law 95-561.

Expiration Date:

September 30, 1982

Funding History:

Year	Authorization	Appropriation
1974	$15,000,000	$2,375,000
1975	15,000,000	1,800,000
1976	15,000,000	1,800,000
1977	15,000,000	2,300,000
1978	15,000,000	2,300,000
1979	15,000,000	2,000,000
1980	15,000,000	3,000,000
1981	15,000,000	2,250,000
1982	15,000,000	[1]

Program Goals and Objectives:

This program provides opportunties for students to learn about their own cultural heritage and to study the cultural heritages of the other ethnic groups in the Nation. The purpose is to recognize the contributions of ethnic groups to American society, encourage mutual understanding, cooperation, and ethnic cultures, and reduce social divisiveness.

As specified in the law, each project supported by this program shall--

(1) develop curriculum materials for use in elementary or secondary schools or institutions of higher education relating to the history, geography, society, economy, literature, art, music, drama, language, and general culture of the group or groups with which the program is concerned, and the contributions of that ethnic group or groups to the American heritage; or

(2) disseminate curriculum materials to permit their use in elementary or secondary schools or institutions of higher education throughout the nation; or

(3) provide training for persons using, or preparing to use, curriculum materials developed under this title; or

---

[1] No appropriation was made for this program in FY 1982 since the program was included as part of the advance-funded education block grant (Chapter 2 of the Education Consolidation and Improvement Act of 1981, P.L. 97-35).

(4) cooperate with persons and organizations with a special interest in the ethnic group or groups with which the program is concerned to assist them in promoting, encouraging, developing, or producing programs or other activities which relate to the history, culture, or tradition of that ethnic group or groups.

Program Operations:

The program authorizes grants and contracts to public and private non-profit educational agencies, institutions, and organizations to assist them in planning, developing, and operating ethnic heritage studies programs.

Projects which are proposed for funding by grant must be planned and carried out in consultation with an advisory committee that is representative of the ethnic group or groups with which the program is concerned. Project activities include curriculum material development, training, dissemination of material, and cooperation with ethnic groups in the community served by each project. Emphasis is placed on multi-ethnic endeavors that draw upon the cultural pluralism of the community.

In carrying out this program, the Secretary attempts to make arrangements which utilize (1) the research facilities and personnel of institutions of higher education, (2) the special knowledge of ethnic groups in local communities and of foreign students pursuing their education in this country, (3) the expertise of teachers in elementary and secondary schools and institutions of higher education, and (4) the talents and experience of any other groups, such as foundations, civic groups, and fraternal organizations, which would further the goals of the programs.

Funds appropriated to carry out this program may be used to cover all or part of the cost of establishing and carrying out the projects, including the cost of research materials and resources, ethnic group and academic consultants, and training of staff. Such funds may also be used to provide stipends to individuals receiving training as part of such projects and in such amounts as are determined in accordance with the program regulations.

Program Scope:

In FY 1974, 38 projects were funded with an average award of $62,500. During FY 1975, 48 grants averaging $37,500 were made in support of programs in 32 States and the District of Columbia. During FY 1976, 49 grants averaging $36,735 were funded in 32 States, the District of Columbia, and the Trust Territory of the Pacific Islands. In FY 1977, 64 grants averaging $36,000 were funded in 36 States, the District of Columbia, Virgin Islands, and Puerto Rico. In FY 1978, 56 grants averaging $41,071 were awarded in 28 States, the District of Columbia, and American Samoa. In FY 1979, 48 grants averaging $41,667 were awarded to 22 States, Guam, and the District of Columbia. In FY 1980, 58 grants averaging $51,724 were awarded to 22 States and Territories. In FY 1981, 28 grants averaging $73,714 have been awarded to 20 States and the Virgin Islands. In addition, 3 contracts totaling $186,000 have been let.

As noted above, there was no FY 1982 appropriation for the program since it was included as part of Chapter 2 of ECIA. Current program activities consist of monitoring the continuing FY 1981 awards and preparing for program consolidation.

In FY 1981, staffing for this program consisted of 7 positions: program director, administrative assistant, 3 program officers, secretary, and a clerk-typist. In FY 1982, because of ECIA-related program reorganization, the staff was reduced to one program officer.

Since 1974, over 200 projects have been funded that have developed curriculum materials featuring 71 different ethnic groups. Approximately 1,800 items were developed by the projects, 870 items are audiovisuals including cassette or audio tapes, videotapes/cassettes, slide programs, filmstrips, 16mm. films and records. Nine hundred items are print materials to be used as teacher resources, bibiliographies, curriculum guides, study units, teacher guides, and background readings, student materials, or teacher-training resources. Other materials include kits, and artifacts, posters, activity cards, games, data banks, computer files, transparencies, greeting cards, study prints, and traveling exhibits.

Subject areas in which ethnic studies-developed program materials can be used vary widely from art to physical education; almost half (46 percent) of these materials, however, are in social studies and related areas. Slightly more than a fourth (28 percent) are in the humanities and related areas. The two areas of social studies and humanities comprise 74 percent of the progrm develop materials. The balance (26 percent) comprise a wide range of subject areas.

Program Effectiveness and Progress:

Each project contains a self-assessment in terms of constant review and professional criticism, as well as feedback from teachers and students and members of the community's ethnic groups. In addition, an impact evaluation plan consist of a pre-test and post-test approach is an essential element of each project.

With more States requiring the teaching of ethnic studies in the schools, there are indications of wider acceptances of ethnic programs, particularly in the concentrated multi-ethnic areas of the country. California, Illinois, Ohio, Pennsylvania, New York, and Michigan are currently requiring multicultural or ethnic heritage studies statewide. At least 34 States already have provisions supporting multicultural education in some aspects.

The present program has increased its emphasis on training and a major portion of its financial support is in this area. With the advent of training as a major consideration, the materials already developed under the Title IX Ethnic Heritage Studies program are receiving wider dissemination and utilization.

The projects which have been funded through the Ethnic Heritage Studies Program have generated a great deal of interest around the country. In 1979 alone, the Ethnic Heritage Studies Clearinghouse, which produces a catalogue, duplicates and makes available the Ethnic Heritage Study materials, received a total of 2,600 requests for information from all 50 States. Of these, 115 requests were from State educational agencies and 393 were from local school districts.

In FY 1981, the Social Science Education Consortium, Inc., of Boulder, CO. (SSEC) received a contract to conduct an assessment of 982 pieces of material produced by the 196 ethnic heritage projects funded between 1974 and 1980. Materials were evaluated by thirty-eight panelists, using consistent criteria in three major areas: (1) appropriateness of use in learning situations, (2) ethnic authenticity of content, and (3) technical quality of production and potential for dissemination. 438 pieces of material from 102 projects were found to meet the panelists' criteria. These are analysed and described in SSEC's Guide to Selected Ethnic Heritage Materials: 1974-1980. Organized by State and Territory of origin and by the institution which received the grant, the Guide outlines the ethnic group served, the subject areas treated, the potential auidiences/grade levels, the format and availability of materials, a description of the materials, as well as the panels' evaluative comments.

Current Analytic Activities:

Because of the Chapter 2 program consolidation, no studies of the Ethnic Heritage Studies Program are ongoing or planned.

Source of Evaluation Data:

Current:

Program information and Progress Reports from projects.

Haley, F., (ed.) Guide to Selected Ethnic Heritage Materials: 1974-1980. Boulder, CO: Social Science Education Consortium, 1982.

Ethnic Heritage Studies Program. Final Regulations. Federal Register, April 8, 1980, Vol. 45, No. 69, pp. 24040-42.

Other:

Ethnic Heritage Studies Program Catalogue: 1974-1979. Boulder, CO: Ethnic Heritage Studies Clearinghouse (Social Science Education Consortium), 1980.

Ethnic Heritage Studies Program Catalogue: 1978-1980 Supplement. Boulder, CO: Ethnic Heritage Studies Clearinghouse (Social Science Education Consortium), 1981.

Assessment of the First Year of the Ethnic Heritage Studies Program, a report published in 1977 and prepared under a Title IX Elementary and Secondary Education Act Grant awarded by the Ethnic Heritage Studies Branch of the U.S. Office of Education to the National Education Association in 1976.

For further information about program operations,

Contact: Carmen Rodriquez
(202) 426-9303

For further information about studies of program effectiveness,

Contact: James J. English
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Program for the Gifted and Talented
(CFDA No. 84.080)

Legislation:

Elementary and Secondary Education Act of 1965, Title IX, Part A, as amended by P.L. 95-561.

Expiration Date:

September 30, 1982

Funding History:

Year	Authorization	Appropriation
1975	Commissioner's S&E	$ 50,000
1976	$ 12,250,000	2,560,000
1977	12,250,000	2,560,000
1978	12,250,000	2,560,000
1979	25,000,000	3,780,000
1980	30,000,000	6,280,000
1981	35,000,000	5,652,000
1982	5,652,000	1/

Program Goals and Objectives:

The purpose of this program was to provide special educational services to gifted and talented children to enable them to fulfil their potential both as individuals and as a resource to the nation.

The program objectives were:

A. The development and dissemination of information, ideas or practices that enhance the education of gifted and talented children.

B. The awarding of grants to State and local educational agencies for the planning, development, operation, and improvement of programs and projects designed to meet the special educational needs of the gifted and talented at the preschool, elementary, and secondary school levels.

C. The awarding of grants to State and local education agencies for training personnel engaged or preparing to engage in educating the gifted and talented or supervisors of such persons.

D. The awarding of grants to institutions of higher education or other appropriate nonprofit agencies for training leadership personnel (including internships) in the education of the gifted and talented.

1/ No appropriation was made for this program in FY 1982 since the program was included as part of the advance-funded education block grant (Chapter 2 of the Education Consolidation and Improvement Act of 1981, P.L. 97-35).

E. The awarding of contracts to public and private agencies for the establishment and operation of model projects for the identification and education of the gifted and talented.

Program Operation:

Since 1980, funds for the Gifted and Talented program were divided between the State-Administered Grant Program and the Discretionary Grants Program with State-Administered Grants receiving 75% and Discretionary Grants getting 25%.

Under the State-Administered Grant Program, the law required that each State that applied received a minimum grant of $50,000. Until the appropriation reaches $15 million, any additional funds available above this $50,000 level were provided to States on a competitive basis. At the 1981 level of $5,652,000, 23 States received an additional $50,000 - $70,000, while the remaining 34 States and Territories received the minimum $50,000.

Under the State-Administered Grants program, 90% of the funds were distributed to Local Education Agencies (LEAs), which in turn used 50% of those monies on educational projects serving disadvantaged children. The remaining 10% of the State-Administered Grant money was used by the States for administration, technical assistance, coordination and state-wide planning.

The Discretionary Program, which was managed at the Federal level, supported State planning and development activities, professional development, research, information services, and model demonstrations.

Program Scope:

As noted above, there was no FY 1982 appropriation for the program since it was included as part of Chapter 2 of the Education Consolidation and Improvement Act of 1981 (ECIA). Current program activities consist of monitoring the continuing FY 1981 grant awards and preparing for program consolidation.

FY 1981 activities consisted of:

A. State-Administered Program Grants. A total of $4,389,000 (77.6% of the total appropriation) was awarded to State educational agencies (SEAs) under the State Administered program.

B. Discretionary Program Grants. A total of $1,263,000 (22.4% of the total appropriation) was used to fund 25 Discretionary Grants. These included:

1. Model Projects. There were seven model projects in FY 1981 for a total of $386,199. Operation of a model project generally involves the development and refinement of a program that delivers services to students in an innovative way. Model projects are required to have an evaluation and dissemination component. Currently funded model projects reflect the federal interest in providing education to disadvantaged students who are gifted or talented, as well as to other classes of students.

2. Professional Development. In order to strengthen leadership in the field of gifted and talented education and provide the teachers, administrators, supervisors, and other leadership personnel needed in this field, eleven grants were awarded in 1981 for a total of $732,225. These projects included six graduate degree training grants and five leadership development grants. The latter include efforts to support information sharing and networking of individuals and groups concerned with gifted and talented education.

3. Statewide Activities Grants. Approximately $145,000 supported seven grants to SEAs for statewide planning, development, operation and improvement of program and projects designed to meet the educational needs of gifted and talented children. These grants provided SEAs with resources to develop comprehensive state-wide programs, such as providing State coordinators of gifted and talented programs, as well as for conducting in-service training programs.

Program Effectiveness and Progress:

During previous years, information on the progress of the program has not been available except for annual performance/financial reports.

From December, 1980 to September, 1981, the American Institutes for Research (AIR) in Palo Alto, CA conducted an Evaluability Assessment (EA) for the Office of the Gifted and Talented (OGT). An EA is an analysis of a given program for the purpose of strengthening the program's managment and for providing a foundation for future evaluation. AIR's EA resulted in: (1) an agreed-upon program description including objectives, activities, and anticipated oucomes; and (2) fifteen management options likely to lead to improved program operation.

These EA results were intended to provide the OGT program managers with useful information regarding the intended program objectives. However, these results are moot given the consolidation of the Gifted and Talented program into the Chapter 2 block grant.

Current Analytic Activities:

Because of the Chapter 2 program consolidation, no studies of the Gifted and Talented Program are ongoing or planned.

Sources of Evaluation Data:

Current:

Rubin, D.P. An Evaluability Assessment of the Gifted and Talented Children's Program. Palo Alto, CA: American Institutes for Research, September 1981.

Gifted and Talented Children's Education Program. Final Regulations. Federal Register, April 3, 1980, Vol. 45, No. 66, pp. 22694-98.

For further information about program operations,

Contact: Frank Robinson
(202) 245-2547

For further information about program effectiveness,

Contact: James J. English
(202) 245-9401

OFFICE OF BILINGUAL EDUCATION AND MINORITY LANGUAGES AFFAIRS

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Bilingual Education (CFDA No. 84.003)

Legislation:

Bilingual Education Act -- Title VII of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561.

Expiration Date:

September 30, 1983

Funding History:

Year:	Authorization:	Appropriation:
1968	$ 15,000,000	$ -0-
1969	30,000,000	7,500,000
1970	40,000,000	21,250,000
1971	80,000,000	25,000,000
1972	100,000,000	35,000,000
1973	135,000,000	45,000,000 1/
1974	146,750,000	58,350,000 2/
1975	147,250,000	85,000,000 3/
1976	152,750,000	98,000,000 3/
1977	163,750,000	115,000,000
1978	174,750,000	135,000,000
1979	232,000,000	150,000,000
1980	299,000,000	166,963,000 4/
1981	446,000,000 5/	157,467,000
1982	139,970,000 6/	138,057,000 7/
1983	123,174,000 8/	

Program Goals and Objectives:

The general goal of the Bilingual Education Program is to develop English proficiency in children of limited English proficiency and to provide them with equal educational opportunity. To achieve this goal, the Program provides

---

1/ Of this amount, $9,870,000 was released and made available for obligation in FY 1974.

2/ Amount shown is after congressionally authorized reductions.

3/ Includes funds earmarked by Congress to carry out provisions of Part J of the Vocational Education Act. An amount of $2,800,000 was appropriated for this purpose each year. Subsequently, funds for vocational education have been requested under the appropriation title for Occupational, Vocational, and Adult Education.

4/ Includes $8,600,000 for the bilingual desegregation program, moved to Title VII as of 1980 from the Emergency School Aid Act by the Education Amendments of 1978.

5/ Includes $90,000,000 for bilingual vocational education training and $20,000,000 for bilingual desegregation programs.

6/ This authorization is established by the Omnibus Budget Reconciliation Act of 1981, P.L. 97-35.

7/ Third Continuing Resolution, P.L. 97-92.

8/ 1982 Revised Request from U.S. Department of Education assistance for: (a) establishing elementary and secondary programs of bilingual education, (b) establishing training programs to increase the number and quality of bilingual education personnel, (c) developing and disseminating bilingual instructional materials, (d) coordinating technical assistance programs of bilingual education, (e) carrying out studies and evaluations, and (f) assisting LEA's engaged in desegregation plans.

The term "limited English proficiency" is defined in the Act. When applied to a student, it means one: (a) who was not born in the United States or whose native language is a language other than English, (b) who comes from an environment where a language other than English is dominant, or (c) is American Indian or Alaskan Native and who comes from an environment where a language other than English has had a significant impact on his or her level of language proficiency and, for these reasons, has sufficient difficulty in speaking, reading, writing, and understanding the English language to deny him or her the opportunity to learn successfully in classrooms where the language of instruction is English. The term "program of bilingual education" is also defined in the Act. It means an instructional program designed for students of limited English proficiency in elementary and secondary schools where instruction is given in English and, to the extent necessary, the native or dominant language of the student to allow the student to achieve competence in the English language. Such instruction may incorporate an appreciation for the cultural heritage of the student of limited English proficiency and may be in those subjects necessary for the student to progress effectively through the educational system. A program of bilingual education may provide for the voluntary enrollment to a limited degree (not more than 40 percent) of children whose language is English if doing so contributes to the primary program objective of assisting students of limited English proficiency to improve their English language skills.

The Elementary and Secondary Education Act of 1965 was amended in 1968 by P.L. 90-247 to create Title VII, the Bilingual Education Act. The initial purpose of the Act was to provide financial assistance to carry out new and imaginative elementary and secondary school programs designed to meet the special educational needs of children of limited English-speaking ability.

In 1974, Congress greatly expanded the scope of the Bilingual Education Program through the Education Amendments of 1974 (P.L. 93-380). As a result of P.L. 93-380, increased emphasis was placed on both preservice and inservice training. Included were funds to increase the capacity of postsecondary institutions to train personnel to work in bilingual education programs and a major fellowship program to develop teacher trainers. In addition, a national network of centers [currently labeled Bilingual Education Service Centers (BESCs) and Evaluation, Dissemination, and Assessment Centers (EDACs)] referred to collectively as the Title VII Service "Network" and funds to States to provide technical assistance to individual projects were egun. In 1976, funds were allocated for the development of the National Clearinghouse for Bilingual Education. individual projects. In 1976, funds were allocated for the development of the National Clearinghouse for Bilingual Education.

Other provisions of P.L. 93-380 created the Office of Bilingual Education and the National Advisory Council on Bilingual Education. The Act mandated that the Office of Bilingual Education report directly to the U.S. Commissioner of Education, called for major new initiatives in research, and mandated a national assessment of bilingual education directions and needs.

Congress clarified its definition of acceptable programs of bilingual education operated by Local Educational Agencies by providing for instruction in the native language of children with limited English-speaking ability to make it possible for the children to progress effectively through the educational system while they were learning English. Emphasis was also placed on giving attention to the cultural heritage of children of English-speaking ability in bilingual programs. At the same time, Congress made it clear that programs designed to teach a foreign language to English-speaking children were not allowable.

Under the Education Amendments of 1978 (P.L. 95-561), Congress clarified its intent that the primary purpose of the Program was to help children become proficient in understanding, speaking, reading, and writing the English language. The new Act called for development of entry and exit criteria for individual students; limited the participation of English proficient children to 40 percent; strengthened requirements for parental and community involvement; and emphasized serving children most in need, including the historically underserved.

Program Operations:

In general, the Bilingual Education Program awards forward-funded discretionary grants on a competitive basis to Local Educational Agencies (LEAs), institutions of higher education (IHEs), and support service centers, and contracts with State Educational Agencies. Although the majority of grants are for multiple years, grant awards are made for one year at a time -- with continuation awards for subsequent years subject to satisfactory performance and availability of funds.

The Office of Bilingual Education and Minority Languages Affairs (created in 1979 with the new U.S. Department of Education) administers the ESEA Title VII Bilingual Education Program and funds 11 categories of subprograms: Basic Projects in Bilingual Education, Demonstration Projects, State Educational Agency Projects for Coordinating Technical Assistance, Bilingual Education Service Centers, Evaluation, Dissemination and Assessment Centers, Training Projects, School of Education Projects, a Desegregation Support program, a Fellowship program, a Materials Development Projects program, and a Research and Development program.

Basic Projects in Bilingual Education:

A Basic Project grant is awarded to an LEA, an IHE which applies jointly with one or more LEAs, or an elementary and secondary school operated or funded by the Bureau of Indian Affairs to establish, operate or improve programs of bilingual education to assist children of limited English proficiency to improve their English language skills. The projects are designed to build the capacity of the grantee to maintain programs of bilingual education when federal funding is reduced or no longer available.

Demonstration Projects:

This program provides financial assistance to potential recipients of a Basic Project grant to demonstrate exemplary approaches to providing programs of bilingual education and to build the capacity of the grantee to maintain those programs when federal funding is reduced or no longer available.

State Educational Agency Projects for Coordinating Technical Assistance:

This program provides financial assistance to SEAs to coordinate technical assistance to programs of bilingual education funded under ESEA Title VII within their States. Examples of authorized technical assistance activities are: (a) assisting in the exchange of information among bilingual education projects sharing similar purposes, goals, and approaches, (b) disseminating information which will help personnel in bilingual education projects meet State certification requirements for teachers of bilingual education and for support personnel who work with the projects, and (c) coordinating the evaluation of the effectiveness of these projects.

Bilingual Education Service Centers:

These centers provide training and other technical services to programs of bilingual education and bilingual education training programs within designated regional service areas. Those eligible for assistance are: (a) an LEA, (b) an SEA, (c) an IHE or a nonprofit private organization that applies after consultation with one or more LEAs, or with an SEA, or (d) an IHE or a nonprofit private organization that applies jointly with one or more LEAs or with an SEA.

Evaluation, Dissemination, and Assessment Centers:

These centers assist programs of bilingual education and bilingual education training programs within designated regional service areas in assessing, evaluating, and disseminating bilingual education materials. Those eligible for assistance are an LEA, or an IHE that applies jointly with one or more LEAs.

Training Projects:

This program provides financial assistance to establish, operate, or improve training programs for persons who are participating in, or preparing to participate in, programs of bilingual education or bilingual education training programs. Those eligible for assistance are the same as those for a BESC.

School of Education Projects:

This program provides financial assistance to IHEs to develop or expand their degree-granting bilingual education training programs. Those eligible for assistance are: (a) an IHE with a school, department or college of education, or a bilingual education training program that applies after consultation with one or more LEAs or with an SEA, or (b) an IHE with a school, department or college of education, or a bilingual education training program that applies jointly with one or more LEAs or with an SEA.

Desegregation Support Program:

This program provides financial assistance to desegregating LEAs to meet the needs of transferred children who come from an environment in which the dominant language is other than English and who lack equality of educational opportunity because of limited language proficiencies and cultural differences. An LEA that meets the requirements of sections 606(a) and 606(c) of the ESEA (as amended in 1978), and any regulations implementing those sections, may apply for a grant.

Fellowship Program:

This program provides financial assistance to full-time graduate students who are preparing to become trainers of teachers for bilingual education. An IHE that offers a program of study leading to a degree above the Master's level in the field of training teachers for bilingual education is eligible to participate in this program.

An individual is eligible to apply for a fellowship under this program if this individual: (a) is a citizen, a national, or a permanent resident of the United States, or is in the United States for other than a temporary purpose and can provide evidence from the Immigration and Naturalization Service of his or her intent to become a permanent resident, or is a permanent resident of the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, or the Trust Territories of the Pacific Islands, and (b) has been accepted for enrollment as a full-time student in a course of study offered by an IHE approved for participation in this program. The course of study must lead to a degree above the Master's level in the field of training teachers for bilingual education.

Materials Development Projects Program:

This program awards grants and contracts to develop instructional and testing materials for use in programs of bilingual education and bilingual education training programs. Those eligible for assistance are an LEA, or an IHE that applies jointly with one or more LEAs.

Research and Development Program:

This program authorizes: (a) research activities funded by the U.S. Department of Education to enhance the effectiveness of bilingual education and other programs for persons who have language proficiencies other than English, (b) interagency coordination to develop a national research program for bilingual education, and (c) the development and dissemination of information regarding teaching and learninng, bilingualism and LEP student achievement which is useful for programs of bilingual education.

Program Scope:

For the Office of Bilingual Education and Minority Languages Affairs, the estimated allocation of funds for FY 1982 is given in Table 1 -- which shows clearly that the majority of funds are allocated to bilingual education programs implemented by LEAs. On the whole, these LEA programs serve approximately 213,000 students speaking collectively 91 languages other than English.

Table 1

Allocation of Funds by the Office of Bilingual Education and Minority Languages Affairs for FY 1982

Category	Funding
Grants to School Districts	$79,222,000
Basic Projects in Bilingual Education	68,382,000
Demonstration Projects	10,840,000
Bilingual Desegregation Grants	$ 7,356,000
Training Grants	28,836,000
Bilingual Education Service Centers	8,581,000
Training Projects and School of Education Projects	16,311,214
Fellowship Program	3,943,386
Support Services	18,957,000
Materials Development	7,560,000
Research and Development Program	5,280,000
National Advisory Council	117,000
Information Clearinghouse	1,200,000
SEA Project for Coordinating Tech. Asst.	4,800,000
Bilingual Vocational Training	3,686,000
Total	$138,057,000

Program Effectiveness and Progress:

A variety of studies have been completed during this fiscal year. The studies and major findings are as follows:

I. Study of ESEA Title VII-funded and other teacher training programs in bilingual education (completed in 1982)

Initiated in December 1978, this study of teacher training programs in bilingual education was designed:

- To better understand the nature of IHE programs that train bilingual education teachers, aides, and teacher-trainers
- To determine the degree to which program graduates become involved in bilingual education
- To estimate the number of individuals entering the pool of available bilingual education personnel through these activities

Major findings from the study were:

- Program Quality. Graduates generally meet or exceed State qualification standards and Title VII regulatory requirements for bilingual education teachers, but increased participation of faculty from allied fields would provide greater breadth of preparation for students now being taught by just one or two instructors.
- Institutional Support. Enrollment levels (a critical factor in making a program self-sustaining) in Title VII-funded programs have been rising steadily and currently average about 46 students per program. Three states, California, New York, and Texas, which train the majority of bilingual education teachers, stated that they would have difficulty in increasing enrollment levels, given the current rate of funding. Nearly half of the remaining states report that further increases can be achieved with current resources.
- Placement Rates. About 82 percent of those completing a bachelors or masters program and 86 percent of the doctoral program graduates are finding positions in bilingual education. This compares with a 55 percent placement rate in other fields of education.
- Changes in Supply. As of 1979-80, an upper estimate of 1,900 graduates of higher education programs were becoming newly-qualified and entering the supply of bilingual education teachers each year. Of these, 1,300 would enter elementary schools. On an estimated base of about 17,000 elementary school teachers, this represents an increase in supply of about 3 percent, or a net gain of 440 additional elementary teachers in bilingual education annually.
- Remaining Unmet Need. As of fall 1980, under different assumptions concerning the size of the eligible population, local choices about the use of bilingual approaches, student/teacher ratios, and other variables, estimates for the number of teachers who would be needed

range from 16,000 to 56,000.

II. Development of entry/exit criteria and associated assessment procedures for bilingual education projects (completed in 1981)

In September 1978, the U.S. Office of Education awarded a 2-year contract for the development of entry/exit criteria and associated project assessment procedures for bilingual education projects. The goal of the study was the development of a Student Placement System which would provide technical assistance to Basic Project grantees in: (a) selecting students most in need of project participation, (b) determining when a participating student may successfully be transferred into an all-English-medium classroom, and (c) providing follow-up assistance to transferred students. This study is congressionally-mandated [see ESEA Title VII, section 731(e)(2)].

As a whole, the Student Placement System is a set of materials for assisting project personnel in designing and implementing an "entry", "exit", and "follow-up" system appropriate for their particular needs, their particular students, and their particular community. The Student Placement System is not a set of achievement tests and is not one particular entry/exit system which should be implemented in all projects. Rather, the Student Placement System is an adaptable set of materials for assisting projects in determining the characteristics of tests most appropriate for their needs, selecting and/or constructing and using such tests. The Student Placement System includes materials for:

- Conducting a local needs analysis for English-language skill assessment
- Selecting and/or constructing appropriate assessment instruments, and developing procedures for their use
- Developing appropriate criteria for selecting and transferring students
- Implementing, maintaining, and evaluating the placement system

In 1980, copies of the Student Placement System were distributed to project directors of all ESEA Title VII-funded Basic Projects in Bilingual Education. Additionally, selected staff of each of the Bilingual Education Service Centers and Evaluation, Dissemination and Assessment Centers were trained in the use of the system. These individuals in turn provided training to local project personnel in the use of the Student Placement System.

III. Development of evaluation and data gathering models for ESEA Title VII bilingual education projects (Completed in 1982)

This congressionally-mandated project [see ESEA Title VII, sections 731(e)(3) and 731(d)(2)] was begun in summer 1980 for the development of evaluation and data gathering models for ESEA Title VII Basic Projects in Bilingual Education. The major objectives of the 20-month study were:

- To describe the current evaluation and data gathering practices and evaluation needs of ESEA Title VII Basic Projects grantees.

- To review and synthesize the relevant literature on evaluation models applicable to bilingual education projects.

- To develop an exportable product for providing technical assistance to staff of bilingual education projects in conducting a project evaluation consistent with their needs.

The required product was completed in 1982, labeled "A handbook for evaluating ESEA Title VII bilingual education programs," and consists of Volume I: "A user's guide to evaluation basics," Volume II: "A designer's manual for conducting an evaluation," and Volume III: "A technical appendix."

IV. Achievement of Hispanic students in American high schools (completed in 1981)

As part of the national longitudinal study of high school sophomores and seniors in the United States initiated in 1972 in which a representative sample of students are tested every two years, data were collected in 1980 from an oversample of Hispanic students. This oversampling of Hispanic students (specifically, 3521 sophomores and 3177 seniors) was by design and done to provide more detailed information on this particular student subgroup. In this study, Hispanic students were categorized as either Mexican-American, Cuban, Puerto Rican, or Other Latin American.-

Data collected addressed:

- student achievement -- school delay (the difference between the modal age of students in the class and the student's self-reported age), educational aspirations, and achievement scores on standardized tests (reading, vocabulary and mathematics)

- family background -- father's education and family income

- immigration history -- nativity, length of residence of student, and length of residence of student's mother

- language usage -- home language, student's native language, student's self-reported proficiency in English and Spanish, and the student's use of Spanish

Major findings from the study were:

1. Demographic Characteristics

   - Proportions of Hispanic students in the tenth and twelfth grades with Spanish language background vary markedly by Hispanic subgroup, from about 80 percent for Cuban seniors to about 38 percent for Other Latin American seniors.

   - The proportion of students whose fathers have a college degree is higher for Cubans and Other Latin Americans than for other Hispanic subgroups. The proportion for each of these two groups is also higher than that for blacks but considerably lower than that for whites not of Hispanic origin. The proportion of students whose fathers have not completed high school is higher for most Hispanic subgroups than it is for whites and blacks.

- Puerto Rican families appear to be the most disadvantaged with respect to income, while Cubans and Other Latin Americans appear to be the most advantaged. All Hispanic subgroups, except Puerto Ricans, do better than blacks in this respect. All Hispanic groups fare less well than non-Hispanic whites.

- Hispanic subgroups differ greatly with respect to immigration history. Mexican-Americans and Other Latin American families of the tenth and twelfth graders have been settled in the United States for the longest period of time. The families of Cuban students have entered the United States most recently.

2. Language Use

- Use of the Spanish language by these students varies among Hispanic subgroups. Other Latin American and Mexican-American students appear to be the most linguistically assimilated subgroups, Cubans the least assimilated, and Puerto Ricans in between.

- Subgroups are very similar with respect to scores on the self-assessed English proficiency measure, with Cuban students reporting a slightly higher proficiency.

3. Academic Achievement

- Rates of school delay (being two or more years older than the modal age for a grade) are considerably larger for Hispanic seniors than for white seniors not of Hispanic origin.

- Hispanics generally have lower educational aspirations than either blacks or whites, when the level of aspiration is calculated as the percentage of a group that expects to achieve at least a college degree. Cubans are an exception, with the highest aspiration level of all groups.

- Average scores on mathematics, reading, and vocabulary tests for Hispanic subgroups are intermediate between those of blacks and non-Hispanic whites. Among Hispanics, Cubans have the highest scores on all three tests, although this subgroup makes more use of the Spanish language.

- In addition to socioeconomic status of the family, proficiency in English and proficiency in Spanish was found to be positively related to student achievement. The length of residence of the family and frequency of use of the Spanish language were both found to be negatively related to student achievement.

- Average differences in achievement among Hispanic subgroups generally disappear when individual factors (such as socioeconomic status, sex, linguistic indicators, immigration history) are controlled -- except for the difference between Cubans and other Hispanics. Cubans still achieve better in school than other subgroups.

Current Analytic Activities:

Evaluation of the classroom instruction component of the ESEA Title VII Bilingual Education Program (Ongoing):

A 3-year study of the bilingual education projects funded by Title VII Basic Program grants was initiated in fall 1979. Although the instructional characteristics of projects will be examined, the emphasis is on examining the process by which projects are implemented, and the factors which cause them to be implemented in a particular manner. The major objectives of the study are:

- To describe the characteristics of a representative sample of Title VII-funded bilingual education projects and to identify groups of projects which appear to represent distinctly different approaches to the education of children with limited English proficiency.
- To determine the project objectives, and the relationship between skills actually addressed by the projects and those skills necessary to function effectively in an all-English-medium classroom in the United States.
- To determine the degree of program implementation among LEAs, and to identify factors which enhance or impede project implementation.

Final results from the study will be available in October 1982. Representative interim findings are the following:

1. General Program Characteristics: The number of different languages listed by projects is growing, and may present a problem with regard to planning for and accomodating the needs of limited English proficient students. The majority of projects identify themselves as either (a) those (48%) where the native language is used only until the student can function in academic subjects taught in English, or (b) those (21%) where all subjects are taught in both languages.

2. Local Project Characteristics: Both the total number of bilingual classes with limited English proficient students and the mean number of such students decrease with increasing grade level of classrooms, so that 70 percent of the students in elementary grades are found in grades K through 2 and only 30 percent are found in grades 3 through 6. The majority (75%) of classroom teachers reported that only one language other than English was spoken in their classrooms. However, over ten percent reported three or more non-English languages, with some teachers reporting as many as six.

3. Implementation Characteristics: One-third of the project directors reported using a pull-out model of instruction to at least some extent. According to school principals the pull-out was used more extensively in grades three through six than in kindergarten through second grade. According to classroom teachers, the pull-out approach was used most frequently in

the teaching of ESL (40% of the classrooms). It was used in the teaching of native reading and language arts and English reading and language arts in alamost 20 percent of the classrooms. It was used in ten percent or fewer classrooms to teach other subjects. Published tests and teacher ratings of student achievements, followed by parent surveys, were the most frequently mentioned methods used to determine program entry and exit. In general, project directors appeared to be more satisfied with the less formal methods of teacher ratings and parent surveys than they were with the more formal methods such as published tests.

4. Skills Addressed in Title VII Classrooms: Defining the modal grade level within a classroom as the functional graue level of the majority of LEP students: (a) with respect to reading skills, Title VII teachers tend to put the greatest emphasis at modal LEP grade level, (b) with respect to writing skills, teachers put the greatest emphasis at one grade below modal LEP grade level, and (c) with respect to oral language skills, teachers put the greatest emphasis at two grades below modal LEP grade level.

5. Project Goals, Objectives and Plans: Projects are discontinuing the inclusion of long term goals in new applications because there is little direction or incentive to do so. There is wide variation, in both content and format, in how projects formulate annual objectives in new applications.

Synthesis of reported evaluation and research evidence on the effectiveness of bilingual education basic projects (Ongoing):

The goal of this study is integrating the evaluation and research evidence on the effectiveness of bilingual education projects on participating students using solely reported evidence. The study will involve no primary data collection and analysis activities, nor any secondary data analysis activities (that is, the reanalysis of student - level data already collected.) The class of analysis activities to be used in this study is that labeled generally as "meta-analysis" -- defined generally as the statistical analysis of the findings of many individual analyses. Here, the primary emphasis is aggregating achievement and school-related behaviors and outcome measures, where possible, across a collection of reports reflecting heterogeneous projects.

Major objectives for the 18-month study initiated in October 1981 are:

1. To review evaluation and research evidence on the effectiveness of bilingual education projects funded by ESEA Title VII prior to the 1980-81 academic year on student achievement and school-related behaviors.

2. To review evaluation and research evidence on the effectiveness of bilingual education projects not funded by ESEA Title VII prior to the 1980-81 academic year on student achievement and school-related behaviors

3. To synthesize evaluation and research evidence on the effectiveness of bilingual education projects funded by ESEA Title VII for the 1980-81 academic year on student achievement and school-related behaviors.

Effectiveness of bilingual education: A review of the literature (Ongoing)

This study is being conducted by the U.S. Department of Education's Office of Planning, Budget and Evaluation and explores the effectiveness of bilingual education through a review and analysis of reports of project effectiveness. Although approximately 300 evaluation reports were reviewed, approximately 90 percent were judged to have a sufficient number of methodological flaws and subsequently excluded from consideration. A final report is expected to be completed by the Department in 1983, and will contain comments from various political groups on its conclusions.

Estimation of the number of limited English proficient adults in the United States through 1980 Census data (Ongoing)

In response to a request from the U.S. Department of Education, the U.S. Bureau of the Census included a set of three questions in the 1980 Census (long form) which elicited information on the degree of English proficiency of persons living in homes where a language other than English was spoken. The relevant questions are: "Does this person speak a language other than English at home?", "What is this language?", and "How well does this person speak English? -- very well, well, not well, not at all." Data will be analyzed by staff of the U.S. Department of Education and results of these analyses will provide information on the number of limited English proficient adults by State and by language group. Additionally, the results of these analyses will be related to other information on the 1980 Census (long form), and collectively all results will address in part the congressional mandate specified in ESEA Title VII, Part B, section 731(c)(1).

A descriptive study of significant bilingual instructional features (Ongoing)

This 3-year study initiated in 1980 is focused on identifying instructional features having significant desired consequences for language minority limited English proficient students and, additionally, providing information about how best to apply findings at a practical level, as well as theoretical, level. Conceptually, the study has two major parts. The first is designed to identify, describe, and analyze significant instructional features in successful bilingual instructional settings and their various consequences for language minority limited English proficient students; the second, to verify findings from the first part in terms of their generalizability, stability, compatibility, and utility.

The first part of the study includes two levels of data collection activities. In the first, several kinds of data will be collected for ten classrooms at six sites in the United States. These classrooms serve as the Part 1 study sample. Included are:

- o what experts among the bilingual education constitutency at each site deem to be indicators of success for their more successful bilingual instructional settings
- o macro-level context information that describes each site at the school and/or school district level and community level, in

bilingual education program and in terms of the family terms of background of students

- organizational structure of the classroom in terms of language of instruction, content (subject), work size and composition, degree and nature of cooperation/collaboration among students, student choice options, nature and mode of teacher's evaluation, and interdependency of any of these factors on work completion
- allocation of time by content, by language of instruction, and by who is instructing, to use of instructional materials in the native language and English, to limited English proficient students and other students, and among different instructional activities
- teacher variables in terms of active teaching, teachers' expectations and sense of efficacy, and rich description of teachers during instruction
- student variables in terms of language proficiency, participation in classroom learning activities, academic achievement with emphasis on academic learning time for reading, mathematics, and language arts instruction, and social-cognitive understanding of students

These data will be analyzed separately and in various combinations in order to identify significant features of instruction in bilingual settings and their consequences for language minority limited English proficient students.

The second level of the Part 1 study includes a set of intensive, ecological case studies of instructional bilingual settings. These case studies are designed to obtain richer, more in-depth information for the more successful classrooms included in the first level of data collection for Part 1. Classrooms will be selected so that grades K through 6, one junior high school, and one senior high school are included.

Information from Part 1 data analyzes will provide the basis for Part 2 of the study. Part 2 will be carried out during the second and third years of the study and will further validate those significant instructional features identified in Part 1 as being related to consequences for language minority limited English proficient students.

Survey of Language Minority Households with Limited English Proficiency (Ongoing)

This 2 year study was preceded by a pilot study designed to formulate and validate the procedures and instruments necessary to produce estimates by language and by State of limited English proficient children and adults nationally. Using the 1980 Census returns for such households, the study principals have identified a nationally representative sample of households and will administer children and an adult language proficiency measures (one each) to select respondents. The results of the exercise will be used to calibrate the national estimates of children and adults who are limited English proficient in the U.S. The study is being conducted by the Bureau of the Census.

Sources of Evaluation Data (Current):

1. Binkley, J.L., Johnson, D.M., Stewart, B.L., Abrica-Carrasco, R., Nava, H.G. and Thrope, B. A study of teacher training programs in bilingual education, Volume I: Program description. Mountain View, Ca.: RMC Research Corporation, RMC Report No. UR-474, 1981.

2. Cardenas, R.F., Proper, E.C., Baltzell, D.C., Cervenka, E.J., Day, H.R., Goldsamt, M.R. and Goodson, B.D. Evaluation of the classroom instruction component of the ESEA Title VII bilingual education program: Interim findings. Arlington, Va.: Development Associates, Inc., 1982.

3. Kaskowitz, D.H., Binkley, J.L. and Johnson, D.M. A study of teacher training programs in bilingual education, Volume II: The supply of and demand for bilingual education teachers. Mountain View, Ca.: RMC Research Corporation, RMC Report No. UR-487, 1981.

4. InterAmerica Research Associates. A handbook for evaluating ESEA Title VII bilingual education programs. Rosslyn, Va.: InterAmerica Research Associates, 1982.

5. Neilsen, F. and Fernandez, R.M. Achievement of Hispanic students in American high schools: Background characteristics and achievement. Chicago, Ill.: national Opinion Research Center, 1981.

Sources of Evaluation Data (Other):

1. American Institutes for Research. Evaluation of the impact of ESEA Title VII Spanish/English bilingual education program, Volume I: Study design and interim findings. Palo Alto, Ca.: American Institutes for Research, Report No. AIR48300-2/77-FR III, 1977. (ERIC Report No. ED 138-090)

2. American Institutes for Research. Evaluation of the impact of ESEA Title VII bilingual education program, Volume II: Project descriptions. Palo Alto, Ca.: American Institutes for Research, Report No. AIR-48300-2/77-FR IV, 1977. (ERIC REport No. ED 138-091)

3. American Institutes for Research. Evaluation of the impact of ESEA Title VII Spanish/English bilingual education program, Volume III: Year two impact data, educational process, and in-depth analyses. Palo Alto, Ca.: American Institutes for Research, Report No. AIR 48300-1/78-FR V, 1978. (ERIC Report No. ED 154-635)

4. Danoff, M. Evaluation of the impact of ESEA Title VII Spanish/English bilingual education program: Overview of study and findings. Palo Alto, Ca.: American Institutes for Research, Report No. AIR-48300-3/78-FR VI, 1978. (ERIC Report No. ED 154-634)

5. Development Associates. *A study of the state of bilingual materials development and the transition of materials to the classroom: final report.* Arlington, Va.: Development Associates, 1978.

6. Horst, D.P. et al. *An evaluation of Project Information Packages (PIPs) as used for the diffusion of bilingual projects: Volume I, Summary Report.* Mountain View, Ca.: RMC Research Corporation, Report No. UR 460, May 1980.

7. Horst, D.P. et al. *An evaluation of Project Information Packages (PIPs) as used for the diffusion of bilingual projects: Volume II, Technical discussion and appendices.* Mountain View, Ca.: RMC Research Corporation, Report No. UR 460, May 1980.

8. Horst, D.P. et al. *An evaluation of Project Information Packages (PIPs) as used for the diffusion of bilingual projects: Volume III, A prototype guide to measuring achievement level and program impact on achievement in bilingual projects.* Mountain View, Ca.: RMC Research Corporation, Report No. UR 460, May 1980.

9. National Institute of Education. *A re-examination of the impact of ESEA Title VII Spanish/English bilingual education program.* Washington, D.C.: National Institute of Education, 1979.

10. U.S. Office of Education. *Office of Education response to "A re-examination of the impact of ESEA Title VII Spanish/English bilingual education program" conducted by the National Institute of Education.* Washington, D.C.: U.S. Office of Education, Office of Evaluation and Dissemination, 1979.

For further information about program operations,

Contact: Jesse M. Soriano
(202) 245-2600

For further information about studies of program effectiveness,

Contact: David M. Shoemaker
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Bilingual Vocational Training (CFDA No. 84.077)

Legislation:	**Expiration Date**
Vocational Education Act of 1963, as amended by P.L. 94-380, Part J, 1974; as amended by P.L. 94-482, Part B, subpart 3	Indefinite 1/

Funding History:

Year	Authorization	Appropriation
1975	$17,500,000	$2,800,000
1976	17,500,000	2,800,000
1977	10,000,000	2,800,000
1978	60,000,000	2,800,000
1979	70,000,000	2,800,000
1980	80,000,000	4,800,000
1981	90,000,000	3,960,000
1982	indefinite 1/	3,686,000 2/

Program Goals and Objectives:

Grants and contracts may be awarded up to five years to provide bilingual vocational training for persons who are unemployed or underemployed and who are unable to profit from regular vocational training. Three types of activities are offered with set-asides under this authority. Sixty-five percent is authorized to provide bilingual vocational training; 25% to conduct training for instructors and 10% to develop instructional material, methods or techniques for bilingual vocational training.

The target population for the bilingual vocational training program are those with limited-English-speaking ability who have completed or left elementary or secondary school and are available for training by a postsecondary educational institution or persons who have already entered the labor market and who desire or need training or retraining to expand their range of skills or advance in employment. Training allowances for participants in bilingual vocational training programs are subject to the same conditions and limitations as set forth in Section III of the Comprehensive Employment and Training Act of 1973.

1/ The Omnibus Budget Reconciliation Act of 1981, Public Law 97-35 establishes an authorization for the Vocational Education Act of $735,000,000. This amount is not broken down by activity.

2/ Third Continuing Resolution, Public Law 97-92.

Program Operation:

Under this authority, the Secretary makes grants with eligible agencies, institutions, and organizations in supplying job training in recognized and in new and emerging occupations. Instruction in the English language is included to insure that participants may find employment in environments where English is the language normally used. Eligible public or private institutions or other eligible agencies may also receive grants to train instructors of bilingual vocational training. This training may prepare persons to participate in bilingual vocational training or vocational education programs as instructors, aides, or other ancillary personnel, such as counselors, for inservice and development programs to enable such personnel to continue to improve their qualifications while participating in such programs. Fellowships or trainee-ships for persons engaged in such preservice or inservice training may also be provided.

Grants and contracts may be awarded to States, appropriate institutions, organizations or individuals to assist them in developing instructional materials, methods or techniques for bilingual vocational training. Funds under this section may be used for research in bilingual vocational training, programs designed to familiarize State agencies and training institutions with research findings and successful pilot and demonstration projects in bilingual vocational training; experimental, developmental and pilot programs and projects designed to test the effectiveness of research findings and other demonstration and dissemination projects.

Program Scope:

Twelve bilingual vocational training programs in seven States are training 1062 persons for employment in recognized occupations during fiscal year 1982. Occupations include: hospitality and food services, housing maintenance and repair, chefs, data entry operators, air conditioning and heating technicians, auto mechanics and electricians.

The essential aspect of a bilingual vocational training program is that training is conducted both in English and in the dominant language of the participants. Trainees are to acquire sufficient competence to enable them to perform satisfactorily in a work environment where English is used.

Six instructor training programs have been funded to provide preservice and inservice training for about 203 teachers and staff.

Program Effectiveness and Progress:

Bilingual vocational training programs can reduce unemployment rates, increase job earnings and increase the rate of labor force participation of limited-English speaking adults, according to a recently completed study on the status and impact of such programs.

[illegible]rovement of the average unemployment rate was greatest among trainees with high preprogram unemployment rates, Puerto Rican-born or Central American-born persons, trainees who spoke "just a few words of English" at the time they entered the program, trainees who received more than 240 hours of vocational training and trainees from Subpart 3 programs. Other variables associated favorably with unemployment rate change include: coordination between vocational and ESL instructors, and post-program employment in an occupation matched to the training area. Only one-third of the trainees continued to work in areas closely related to their training occupation.

The study was based on a probability sample of 718 trainees in 87 vocational cases in 38 bilingual vocational training programs. The sample was designed to represent a total annual enrollment in bilingual vocational training of limited English-speaking trainees during 1978. The programs funded under Subpart 3 account for one-third of the classes (29) and about 23 percent of the sample trainees (167).

Preprogram information was collected retrospectively from trainees during the initial interview while they were enrolled in vocational classes during the spring and summer of 1978. A second interview was conducted after the trainees had been out of training for 8 to 11 months.

Measurements of English language proficiency were obtained during both interviews. The first, obtained while trainees were still enrolled in training, was used to classify trainees according to their English language proficiency at that time. The second was used to analyze the relationship between English proficiency and postprogram labor force status.

Only 18 percent of the trainees were born in the United States. About 60 percent of the students had no previous schooling in the United States or in a setting where English was the medium of instruction. About 77 percent of the trainees had 6 years or fewer of U.S. or English school.

Unemployment dropped by more than 40 percent between the pre- and post-program periods. The rate of labor force participation of trainees increased about 25 percent, including an increase of about one-third (from 49 percent to 67 percent) for women trainees.

The decline of the trainee pre-training post-training unemployment rates was nearly twice as great in the aggregate unemployment rate and nearly 15 times as great as the decline in the average unemployment rate for the labor areas in which the trainees lived. This magnitude of change makes it extremely likely that participation in bilingual vocational training influenced trainee employement very favorably.

The improvement in trainees' pre-training post-training earnings was closely comparable to the rate of increase for all nonsupervisory and production workers nationally. Considering their initial disadvantages in competing in the labor market, the improvement in earnings appears likely to have been influenced strongly by participation in the program, although this conclusion is less clearcut than the change in unemployment rates.

More than four-fifths of the former trainees were satisfied with their post-program jobs. At least 85 percent of the former trainees expressed satisfaction with various aspects of the program. Only job placement services received a lower rating with one-third of the trainees expressing dissatisfaction. More than 92 percent of the trainees were satisfied with the ability and the methods of their instructors. About half agreed that most of what was done on the job was learned in training, and nearly two-thirds said they were able to apply most of what they learned in training.

Sources of Evaluation Data:

Assessing Successful Strategies in Bilingual Vocational Training Programs. InterAmerica, Inc., Rosslyn, Virginia: March 1981.

Evaluation of the Status and Effects of Bilingual Vocational Training. Kirschner Associates, Inc., Washington, D.C.: March 1980.

Status of Bilingual Vocational Training, a mandated report by the Commissioner of Education and the Secretary of Labor to the President and the Congress, August 1978.

Assessment of Bilingual Vocational Training. Kirschner Associates, Albuquerque, N.M.: August 1976.

The Status of Bilingual Vocational Training Fiscal Years 1979 to 1982, a Joint Report from the Secretary of Labor and the Secretary of Education to the President and to the Congress, May 1982.

For further information about program operations,

Contact: Richard H. Naber
(202) 447-9227

For further information about studies of program effectiveness,

Contact: David M. Shoemaker
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Transition Program for Refugee Children 1/
(CFDA No. 84.068)

Legislation:

Refugee Act of 1980
(P.L. 96-212) 2/

Expiration Date:

September 30, 1982

Funding History:	Year	Authorization	Appropriation
	1980	Indefinite	$23,168,000
	1981	Indefinite	22,268,000
	1982	Indefinite	22,740,000

Program Goals and Objectives:

The Program provides educational services to meet the special educational needs of eligible refugee children who are enrolled in public and nonprofit private elementary and secondary schools by providing formula grants to States based on the number of eligible children in each State. Within this context, an "eligible" child is one admitted into the United States as a refugee under the authority of the Immigration and Nationality Act or granted asylum in the United States.

Program Operations:

The Program grants funds to a State Educational Agencies to assist Local Educational Agencies within the State in providing special, supplementary

---

1/ A similar program was initiated for Cuban and Haitian entrants, with a fiscal year 1980 appropriation of $7.7 million under Section 303 of the Elementary and Secondary Education Act of 1965, as amended. Subsequently, in fiscal years 1981 and 1982, the amounts of $6 million and $5.8 million were awarded to Dade County, Florida for services to Cuban and Haitian entrant children. Appropriations in 1981 and 1982 were made to the Department of Health and Human Services under the authority of Title V of the Refugee Education Assistance Act of 1980 (P.L. 96-422), as amended. These amounts were then transferred to the Department of Education.

2/ Appropriations under this authority are made to the Department of Health and Human Services and are then transferred to the Department of Education.

al services to eligible children, if the State has an approved plan for the administration of refugee resettlement programs on file with the Office of Refugee Resettlement in the Department of Health and Human Services. Under this program, the following services may be provided: (a) supplemental educational services -- with emphasis on instruction to improve English language skills of eligible children -- to enable those children to achieve and maintain a satisfactory level of academic performance, (b) up to 15 percent of the award may be used to provide support services for the eligible children, and (c) a State Educational Agency may use up to one percent of the total funds it receives to ensure proper and efficient administration of funds and to provide technical assistance to subgrantees and others who are providing services to eligible children.

Program Scope:

In 1981-82, $22,268,000 were allocated to the Program, consisting of 50 grants, one grant to each State. The total number of students served was approximately 166,716. The amount of funds varied among States, the funds for each State based on the number of eligible refugee children. For 1982-83, $19,740,000 were allocated to the Program. This amount was supplemented by the amount $23,000,000 carried over from the 1981 appropriation under the Refugee Act. In 1982-83 the total number of children served was approximately 143,207 in 49 States. Less children were served in 1982-83 due to a reduction in the number of years or eligibility. [1]

Program Effectiveness and Progress:

No evaluation of the effectiveness of Program operations has been conducted. However, an Evalability Assessment of the program was conducted by the American Institute for Research, (Palo Alto, California)

Current Analytic Activities:

None.

Sources of Evaluation Data (Current):

None.

---

[1] The number of years of eligibility under the program was reduced through a regulatory change in FY 1982 as follows: (a) elementary school refugee children eligibility was reduced from three years of residency in the U.S. to two years; and (b) secondary school refugee children eligibility was reduced from four years of residency in the U.S. to three years.

Sources of Evaluation Data (Other):

1. U.S. Office of Education. *Annual Report, Indochinese Refugee Children Assistance Program, 1977.* Washington, D.C.: *Bureau of Elementary and Secondary Education*, Report of the Task Force on Indo-Chinese Refugee Children Assistance to the Deputy Commissioner, May 1978.

2. *Indochinese Refugee Assessment.* Report to the Secretary of H.E.W. *Department of Health, Education* and Welfare, Office of the Inspector General, Service Delivery Assessment. Washington, D.C., January 1980.

3. *Service Delivery Assessment on Refugee Resettlement.* Report to the *Secretaries of Health and Human Services and Educat*ion, Office of Management, Service Delivery Assessment. Washington, D.C., April 1981.

4. *Evaluability Assessment of the Transition Program for Refugee Children.* *Report to Division of Performance Management Systems Organizational* Performance Service. U.S. Department of Education, Washington, D.C. September 1982.

For further information about Program operations,

Contact: James H. Lockhart
(202) 472-3520

For further information about studies of Program effectiveness,

Contact: David M. Shoemaker
(202) 245-9401

OFFICE OF SPECIAL EDUCATION AND REHABILITATION SERVICES

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Aid to States for Education of Handicapped Children in State-Operated and State-Supported Schools (CFDA No. 84.009)

Legislation:

ESEA Title I, Sections 146-147 (P.L. 89-313), as amended by P.L. 93-380, and P.L. 95-561

Expiration Date:

Indefinite

Funding History:

Year	Authorization 1/		Appropriation
1966	$ 15,917,101		$ 15,917,101
1967	20,462,448		15,078,410
1968	24,746,993		24,746,993
1969	29,781,258		29,781,258
1970	37,475,507		37,475,507
1971	46,129,772		46,129,772
1972	56,380,937		56,380,937
1973	75,962,098		75,962,098
1974	85,772,779		85,777,779
1975	183,732,163	2/	183,732,163
1976	111,433,451		111,433,451
1977	121,590,937		121,590,937
1978	132,492,071		132,492,071
1979	143,353,492		143,353,492
1980	150,000,000		145,000,000
1981	165,000,000		156,761,000
1982	171,092,000		152,625,000

Program Goals and Objectives:

This program was designed to provide Federal assistance to State agencies which are directly responsible for providing free

---

1/ The authorization level under this legislation is determined by formula and taken from the total Title I appropriation prior to any other allocation of Title I funds. See text for definition of the formula. Appropriation designated in terms of "year of use."

2/ Commencing in 1976 the program is advance funded from prior year appropriation. This resulted in a doubling up of funding in 1975. Funds are shown in the year appropriated.

public education for handicapped children. Handicapping conditions include mental retardation, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically impaired, deaf-blind, specific learning disabilities, multihandicapped or other health impairments requiring special education. State agencies are authorized to use Federal assistance only for programs and projects which are designed to meet the special educational needs of these handicapped children. Acquisition of equipment and construction of school facilities may be included in these projects. Assurances must be given that each child will be provided with programs to meet his special educational needs. The primary emphasis of this program is to fund institutions: (1) which provide full-time residential programs to those children requiring this service, (2) which provide special itinerant services on a part-day basis for children who are enrolled in regular day school but require special, additional assistance, and (3) for children confined to their homes because of the severity of their handicap. The program funds institutions which are directly responsible for the education of children in numbers (1) - (3) above.

Program Operations:

Federal funds under this program are advance funded; i.e., funds appropriated in a given fiscal year are obligated for expenditure in the succeeding fiscal year, as determined by a formula. This formula is based upon the number of eligible handicapped children counted in average daily attendance (ADA), in an elementary or secondary program operated or supported by a State agency, multiplied by 40 percent of the State per pupil expenditure (or no less than 80 percent or more than 120 percent of the National Per-Pupil expenditure). With the amendment of P.L. 89-313 in 1974, children in average daily attendance (ADA) in a State agency who return to an LEA are eligible to participate in the P.L. 89-313 program. The eligibility criteria for LEA participation are:

- The child must have been reported previously in the ADA of a State agency.
- The child must be currently enrolled in an appropriately designed special educational program in the LEA.
- The State agency transfers to the particular LEA funds generated by each such child.

The Special Education Programs (SEP) is responsible for the Federal administration of this program. SEP allocates the funds to State agencies. Applications for the project funds are then submitted by participating institutions/schools to their supervising State agency. Those applications approved by a State agency are forwarded to the State education agency (SEA) for final approval and release of funds. All participating institutions/schools must submit end of year reports to its State agency accounting for the expenditure of funds and providing an evaluation of project activities.

Program Scope:

The funds appropriated in this fiscal year (FY 82) for use in school year 1982-83, should provide services to approximately 245,000 children. The projected average cost per child served is approximately $623.

In FY 82 (i.e., FY 81 appropriation) approximately $157 million was allocated to the 50 States, the District of Columbia, Puerto Rico, Guam, and the Virgin Islands.

The funds allocated were administered by 145 State agencies which supervised project participation at 4,238 State schools, 3,877 local educational agencies and local schools. The average daily attendance reported by these institutions was 242,936 children, as of October 1981. Those children benefitting under the program are distributed across the following handicap categories as follows: Mentally Retarded - 103,835; Deaf - 21,893; Hard of Hearing - 4,219; Emotionally disturbed - 38,548; Deaf-Blind - 1,232; Orthopedically Impaired - 11,520; Other Health Impaired - 3,997; Visually Handicapped - 10,077; Speech Impaired - 13,710; Specific Learning Disabled - 18,826; and Multihandicapped - 15,079. The average per pupil expenditure is $645 per week, based on the FY 81 appropriation.

Program Effectiveness and Progress:

The most recent assessment of the P.L. 89-313 program was completed by Rehab Group, Inc., in September, 1979. The results from that study were reported in 1981.

An assessment of the P.L. 89-313 program was completed by Rehab Group, Inc., in September, 1979. The data collection and analysis effort in 15 states (35 state agencies) and 73 direct service providers had several objectives:

a. State Agencies

(1) Administration of the Program - examination of administrative models in operation and the manner in which the following functions are handled: monitoring, auditing, project evaluation, project approval, and personnel assignments. The analysis would include a review of the methods by which ADA counts are validated.

(2) Program Standards - an examination of the standards for program operation in relation to State regulation standards for LEAs.

(3) Fiscal Analysis - review of the allocation and distribution of P.L. 89-313 funds and a description of

the procedures used to track funding allotments as they flow to the LEAs (i.e., the transfer provision). A comparison, by handicapping conditions, of the expenditures for services for P.L. 89-313 eligible children.

b. State Institutions/day programs

(1) Program Standards - review of the standards for admission, child assessment, program evaluation, personnel requirements, and pupil/teacher ratios; and to determine what standards exist and how they compare to standards set at the SEA level.

(2) Program Characteristics of Service Delivery Providers - review of the programs/services provided to handicapped children eligible under P.L. 89-313 funding.

(3) Fiscal Analysis of Services Provided - a review of the uses of State and local funds compared to Federal monies.

The major findings according to four major areas of inquiry follow:

Program Administration

The administration structure in the State Education Agencies has changed so as to place more importance on the total special education program. The states have implemented administrative procedures which allow systematic monitoring of the providers for compliance with state and Federal requirements. This includes procedures for ensuring fulfillment of the P.L. 93-380 Local Education Agency transfer provisions. Fiscal accountability is maintained in the majority of study by both State Education Agencies and State Agencies.

Some of the administrative questions related to the provisions of services. For example, the majority of states have established guidelines for defining basic vs. supplemental services. Even so, a problem still exists in determining whether services are basic or supplemental. Another inquiry related to the question of targeting of funds. In general the respondents at the state level did not favor targeting as a means of improving their education programs.

Program Standards

The states have standards of quality which meet or even surpass federal requirements. There have been some changes in recent years which have impacted the program administration, availability of funds, and staff responsibilities. These changes have included the increase in state staff responsibilities and the availability of fewer funds per child because of increased services being mandated by state standards.

Service Delivery

Due to deinstitutionalization, the less severely handicapped are being served in Local Education Agency settings. The majority of clients, therefore, being served in state-operated and state-supported schools are severely and multihandicapped. Despite this fact, the state-operated and state-supported schools in the sample are emphasizing the educational and related service needs of clients being served. This includes the development of individualized education programs (IEPs) for each child or youth in their program.

Program Funding

The majority of study states reported an increase in state funding allocations for special education occuring during the past five years. The state also reported that federal aid accounted for a small portion of total revenues.

Several major recommendations were presented in the report. The results of the study strongly suggest that the funds expended have been successful in upgrading the quality of education programs at state-operated and state-supported schools. It is recommended that Federal funding to meet the needs of handicapped children and youth in these schools be continued.

It is recommended that current Local Education Agency transfer provisions be eliminated. This requirement has proven to be extremely difficult to implement. In most states visited the State Agency respondents indicated that the local school districts did not wish to avail themselves of these funds because of the extensive paperwork involved.

Current Analytic Activities:

A study was planned to evaluate the program, but was discontinued due to the proposed block granting of the program.

Sources of Evaluation Data

1. Office of Special Education program information.

2. "Assessment of Educational Programs in State-Supported and State-Operated Schools". Rehab Group, Inc., Falls Church, Virginia, September, 1979.

For further information about program operation,

Contact: Slagle Allbritton
(202) 245--0085

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Grant Program (CFDA No. 84.027)

Legislation:

P.L. 91-230, B as amended
by P.L. 93-380, as amended by
P.L. 94-142, and P.L. 95-561,
Assistance for Education of
All Handicapped Children

Expiration Date:

Not Specified

Funding History:

Year	Authorization	Appropriation
1967	$ 51,500,000	$ 2,500,000
1968	154,500,000	15,000,000
1969	167,375,000	29,250,000
1970	206,000,000	29,190,000
1971	200,000,000	34,000,000
1972	216,300,000	37,500,000
1973	226,600,000	50,000,000
1974	226,600,000	47,500,000
1975	1/	200,000,000 2/
1976	1/	200,000,000 3/
1977	5/	315,000,000 4/
1978	5/	566,030,000 6/
1979	5/	804,000,000
1980	5/	874,500,000
1981	5/	874,500,000
1982	969,850,000 7/	931,008,000

1/ Authorization: Number of children between 3 and 21 multiplied by $8.75.

2/ Includes $90 million in a second supplemental appropriation bill.

3/ Double appropriation changing program to advance funding mode.

4/ $63,230,073 of this amount was carried over into the next fiscal year.

5/ Authorization: Number of handicapped children aged 3-21 multiplied by 5% of APPE (FY 1977), 10% of APPE (FY 1978), 20% of APPE (1979), 30% of APPE (1980) and 40% of APPE (1981).

6/ Includes $37,800,000 supplemental and $63,230,073 carried forward from FY 1977 appropriation.

7/ This authorization is established by the Omnibus Budget Reconciliation

Program Goals and Objectives:

The primary goal of this program is to assist states to provide full education opportunities to all handicapped children. Through grants to States, the program design is to assist in the initiation, expansion and improvement of programs and projects for the handicapped (3-21 years of age) at the preschool, elementary and secondary levels. The grants are intended to increase the quality and quantity of programs for handicapped children. Federal and local resources are used in order to insure that all handicaped children receive a free, appropriate public education designed to meet the child's unique educational needs; and further, to guarantee that each child is educated in the least restrictive environment in accordance with his/her special needs.

Program Operations:

Prior to FY 77, nonmatching grants were made to State and outlying areas. The program was advance funded; i.e., funds appropriated in a given fiscal year were obligated for expenditure in the succeeding fiscal year. Funds were allocated to States on the basis of the number of children in each State 3-21 years of age multiplied by $8.75, ratably reduced with a minimum $300,000 grant.

Beginning in FY 78 (September 1, 1978) the Education of All Handicapped Children Act, P.L. 94-142, required all States to provide a free appropriate education to all handicapped children 5-18 years of age (and 3-5 years of age, providing that this age range corresponds with State law). Any State requesting a grant is required to submit the the Commissioner, through its State Educational Agency, a State plan. State plans are required to demonstrate: (1) the policies and procedures used to implement the program objectives; (2) the manner in which the administration of the plan is to be conducted; (3) provide assurance that the control and administration of funds is performed by a public agency; (4) assure that every attempt will be to receive an amount equal to the number of handicapped children aged 3-21 receiving special education and related services multiplied by a percentage of the national average per pupil expenditure. The percentage increases yearly, up to a maximum of 40 percent in 1982. In fiscal years 1977 and 1978, Congress appropriated the authorized amounts of 5 and 10 percent. In fiscal years 1979 and 1980, Congress appropriated 12 percent, compared with the authorized levels of 20 and 30 percent, respectively. In FY 1981 the amount appropriated by the Congress was 11 percent, compared to the authorized level of 40 percent.

Fiscal Year of Use	Percent of Per-Pupil Expenditures
1978	5
1979	10
1980	20
1981	30
1982	40

In determining the amount of funds to be allocated to each State:

- No more than 12 percent of the number of all children in the State, ages 5-17 may be counted as handicapped.
- Five percent of the total funds received or $300,000 (whichever is greater) may be used by States for administrative costs.
- In FY 78, a minimum of 50 percent of Part B funds will "flow-through" States to LEA's and intermediate educational units if they meet legislative requirements and priorities and are able to qualify for an allocation of at least $7,500. Starting in FY 79, the minimum flow-through is 75 percent.

Other requirements of P.L. 94-142 are that States provide an education to all handicapped children that:

- Is appropriate and individualized
- Is available to all children 3-21

The intent of P.L. 94-142 is to assist the States to defray the excess costs of educating the handicapped. Excess costs are defined as those in excess of the amount normally spent on regular educational programs in the States.

Program Scope:

In general, the purpose of P.L. 94-142 is to provide grants to the States to assist them in the initiation, improvement, and expansion of educational and related services for handicapped children at the preschool, elementary, and secondary levels.

The following chart displays various descriptive information about the P.L. 94-142 program based, in part, on FY 1981 data.

FY 81 advance appropriation for FY 1982	$874.5 million
Per Child Payment (average)	$222
Number of Children Served	3.94 million
Institutions Eligible	SEAs (25% funds reserved for use by SEA) (75% funds flowed to LEAs and intermmediate units)

Type of Grant	Formula Grant to State Education Agencies -- LEA Application to SEA
Handicapping Conditions	Mild to Moderate within each disability category
Educational Settings	Generally directed to LEAs
Intended use of funds	Must be expended according to service priorities for excess costs only. May be used to supplant State funds only after LEAs are in compliance with full service mandate.

As stated earlier, there are established priorities for utilizing these program funds. The expenditure of EHA-B funds is restricted by regulatory requirements which dictate service priorities. These priorities are providing services to the unserved and underserved (i.e., those with the most severe handicapping conditions within each disability area).

In general, grants are used for the following broad priorities:

1. Full implementation of State-wide child identification programs, including diagnostic and evaluate services, which began in school year 1976-77.
2. Continued initiation and expansion of progrms to serve the unserved and underserved, most severely and multiple-handicapped. These programs (a) stress least restrictive short-term inservice training of local school staff.
3. Continued expansion of programs for preschool children.

Handicapped Children Served in School Year 1981-82:

Handicapping Condition	Percentage of Population 8/	No. of Children
Mentally Retarded	1.44	698,430
Hard-of-Hearing	0.06	32,876
Deaf	0.03	17,399
Speech Impaired	2.32	1,124,209
Visual Handicapped	0.04	20,902
Emotionally Disturbed	0.62	303,268
Orthopedically Impaired	0.10	48,458
Other Health Impaired	0.15	76,174
Specified Learning Disabled	3.33	1,608,174

8/ Figures have been truncated.

Deaf-Blind	0.00	1,410
Multihandicapped	0.12	58,753
TOTAL	8.16	3,990,415

Program Effectiveness and Progress:

An evaluation of this program was completed in 1972. With the passage of P.L. 94-142, the findings of this study are obsolete. Accordingly, to avoid confusion the summary of these findings has been omitted.

Current Analytic Activities:

Several process/formative studies are conducted by the Offfice of Special Education and Rehabilitative Services. Details on these studies may be found in the Special Studies summary section.

Source of Data:

Special Education Programs

For further information about program operations,

Contact: Slagle Allbritton
(202) 245-0085

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Preschool Incentive Grants (CFDA No. 84.027)

Legislation:

P.L. 94-142, Section 619
Incentive Grants

Expiration Date:

Not Specified

Funding History:

Year	Authorization	Appropriation
1977	1/	$12,500,000
1978	1/	15,000,000
1979	1/	17,500,000
1980	1/	25,000,000
1981	1/	25,000,000
1982	$ 25,000,000	24,000,000

Program Goals and Objectives:

The purpose of this program is to stimulate State and local education agencies to expand educational services to handicapped preschool children, ages 3-5, thereby increasing their opportunities to benefit from early educational intervention.

Program Operations:

The Education for all Handicapped Children Act (P.L. 94-142) mandates that all handicapped children aged 3-21 shall receive a free and appropriate education unless, for ages 3-5 and 19-21, such provision is inconsistent with State law or practice. This provision of P.L. 94-142 has the effect of mandating educational service to the handicapped who are in the age group for whom education is compulsory in each State; however, many States do not yet mandate or customarily provide educational services to preschool children; therefore, a large portion of the handicapped preschool population, ages 3-5, would not have the opportunity to benefit from the service mandate contained in P.L. 94-142. As an incentive for States and local education agencies to develop and expand programs for this age group, Section 619 of Part B of EHA authorizes grants to States based on the actual number of handicapped preschool children being served.

1/ Permanent authorization. The authorization level for this program is determined by formula; each state receives $300 (ratably reduced) for every handicapped child, age 3 through 5, who is receiving special education and related services.

SEA's must report to the Secretary the number of handicapped children residing in the state who were receiving special education and related services on December 1 of that school year. The number of children ages three through five so reported is the basis for awarding preschool incentive grants to SEA's. State educational agencies may distribute funds received under this program to local educational agencies on a discretionary basis.

Program Scope:

In order to be eligible for funding under this program a State must:

(1) make application to the Secretary of education

(2) have in effect a policy that assures all handicapped children a free appropriate public education

(3) have on file in the Department of Education an approved State plan to provide such services, and

(4) already be providing services to some preschool handicapped children ages 3-5.

Program Effectiveness and Progress:

In school year 1976-77 BEH reported that 196,223 handicapped children, ages 3 through 5, were counted as being served, generating Incentive Grant funds to initiate, improve, or expand services to this age group. In school year 1978-79, 213,850 children were counted; in school year 1980-81 the count increased to nearly 238,000 preschool children, followed by a decrease to 227,612 in school year 1981-82.

As a complement to the Incentive Grant program which aims at supporting basic educational and related services, the Early Childhood Education program authorized by Part C., Section 623, of the Education of the Handicapped Act supports demonstration projects which focus on improving the quality of educational programs for young handicapped children. The incentive grant program distributes funds on a formula basis, whereas the Early Childhood projects are funded through the discretionary grant process.

Current Analytic Activities:

None

Sources of Evaluation Data:

Special Education Programs

For further information about program information,

Contact: Slagle Allbritton
(202) 245-0855

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Resource Centers (CFDA No. 84.028)

Legislation:

P.L. 91-230, Part C of EHA, Section 621, Regional Resource Centers

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
1969	$ 7,750,000	$ 5,000,000
1970	10,000,000	3,000,000
1971	1/	3,500,000
1972	1/	3,500,000
1973	1/	7,243,000
1974	1/	7,243,000
1975	12,500,000	7,087,000
1976	18,000,000	10,000,000 3/
1977	19,000,000 2/	9,750,000
1978	19,000,000	9,750,000
1979	19,000,000	9,750,000
1980	21,000,000	9,750,000
1981	24,000,000	7,656,000
1982	9,800,000	2,880,000

1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C, EHA, which includes early childhood projects, Regional Resource Centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

2/ Total authorized for section 621 is $19,000,000; other funds requested under section 621 were $3,250,000 for severely handicapped projects.

3/ In April 1975 litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 continuing resolution; of these funds, $3,131,652 were used for Regional Resource Centers, increasing obligations over the 1976 appropriation by that amount.

Program Goals and Objectives:

The Regional Resource Centers Program was established to encourage the development and application of exemplary appraisal and educational programming practices for handicapped children. The centers are given the responsibility of developing a national support system to assist Stae and local agencies develop the capacity to provide needed diagnostic and prescriptive services. To accomplish the goals and objectives of this program, the Centers use demonstration, dissemination, training, financial assistance, staff expertise, and consultation. The Centers also act as backup agents where State and local agencies have inadequate or nonexistent service programs. Among the major activities of the Centers are:

- o Identification of unserved handicapped children.
- o Measurement and diagnosis of handicapped children for the purpose of proper educational placement.
- o Development of educational and vocational programs for handicapped children.
- o Provision of technical assistance to relevant personnel (including teachers and parents) in implementing appropriate services for the handicapped learner.
- o Periodic re-examination, re-prescription or case-tracking to validate the appropriateness of program placement for children.

Direction Service Centers are also supported under this activity. These centers encouraged LEAs to adopt programs of comprehensive referral services through the operation of models which:

- o Provide a one-stop information system
- o Attempt to develop multidisciplinary approaches to integrate services
- o Require parent participation
- o Stress follow-up, periodic reassessment, and program service evaluation

- Match child's needs to available services

Program Operations:

To meet program goals and objectives, grants and contracts are awarded to institutions of higher education, State educational agencies, or combinations of such agencies or institutions. Within particular regions of the United States, grants or contracts may be awarded to one or more local educational agencies. Projects are approved for a period of 36 months. However, awards are made annually, and renewed on the basis of a Center's effectiveness and the availability of funds. Initial awards are made on a competitive basis. Awards pay for all or part of the costs of the establishment and operation of the Regional Centers and Direction Service Centers.

Program Scope:

FY 81 program funds ($7,656,000) support 12 Regional Resource Centers and 12 Direction Service Centers. The current emphasis is on promoting child referral and evaluation and upon providing technical assistance to SEA's and LEAs to assist them to develop and implement the individualized educational program requirements (IEP) and the free appropriate public education requirements (FAPE) specified in P.L. 94-142. Approximately 9,000 personnel have been trained in the best available procedures for carrying out the IEP/FAPE mandate. In addition, 90,000 handicapped children have been appraised, referred, and now receive other educational services as a result of this program's activities. The RRCs also assist the 57 State educational agencies develop their comprehensive State plan required by Section 613 of P.L. 94-142, with particular emphasis devoted to developing case findings and identification systems. The Direction Service Centers assisted over 2,500 families in identifying and obtaining services to meet the needs of their handicapped children. FY 82 program funds supported 12 RRCs.

Program Effectiveness and Progress:

The primary limitations on meeting the stated objectives of this program are: (1) the unavailability of best practices in utilizing validated diagnostic procedures, (2) insufficient funds available to State and local educational agencies to develop and implement effective diagnostic, assessment, evaluation and reevaluation programs, and (3) trained diagnosticians and diagnostic teams available in sufficient numbers or with sufficient resources to fully implement the requirements of P.L. 93-380 and P.L. 94-142.

Current Analytic Activities:

None

Source of Evaluation Data:

Special Education Programs

"An Assessment of The Capacity Building Accomplishments of the Regional Resource Center Program", Communication Technology Corporation, 1980.

For further information about program operation,

Contact: Slagle Allbritton
(202) 245-0085

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Deaf Blind Centers (CFDA No. 84.025)

Legislation:

P.L. 91-230, Part C of EHA,
Section 622, Centers and Services
for Deaf-Blind Children

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Approptiation
1969	$ 3,000,000	$ 1,000,000
1970	7,000,000	4,000,000
1971	1/	4,500,000
1972	1/	7,500,000
1973	1/	10,000,000
1974	1/	14,055,000
1975	15,000,000	12,000,000
1976	20,000,000	16,000,000
1977	20,000,000	16,000,000
1978	22,000,000	16,000,000
1979	24,000,000	16,000,000
1980	26,000,000	16,000,000
1981	29,000,000	16,000,000
1982	16,000,000	15,360,000

Program Goals and Objectives:

This program's purpose is to provide assistance to deaf-blind children by helping them reach their full potential for communication with, and adjustments to, the world around them so that they can attain self-fulfillment and participate in society. These program objectives are accomplished by working with deaf-blind children as early in life as feasible and by providing effective specialized, intensive professional and allied services, methods and aids. A limited number of model centers for deaf-blind children are funded under this program.

1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C. EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operation:

Contracts are made with public or nonprofit private agencies, organizations, or institutions to pay for all or part of the cost of establishing single state and multi-state centers and for the operation of service contracts with State, local, and private organizations. Contracts for this purpose are awarded based on the availability of existing services and the assurance that a center can provide:

- Comprehensive diagnostic and evaluative services for deaf-blind children.
- A program for the adjustment, orientation, and education of deaf-blind children which integrates all the professional and allied services necessary for these children.
- Effective consultative services to parents, teachers, and others who play a role in the education of these children.

These services may be provided to deaf-blind children (and where applicable, to other persons) whether or not they reside in the center, may take place at locations other than the center, and may include transportation of children, attendants, and/or parents.

Program Scope:

It has been estimated that approximately 70 percent of the funding for deaf-blind programs come from State and local governments. In FY 82 there are 7 single state and 8 multi-state centers serving deaf-blind children. In order to reach the widely dispersed deaf-blind populatin, the centers subcontract with approximately 250 State, local and private organizations. The current program thrust is to render full-time educational services and to provide technical assistance to subcontractors, in order to upgrade the development, implementation, and coordination of new service delivery systems and to facilitate the development of program alternatives. This program performed the following activities during FY 82:

- Full-time educational services including prevocational/vocational training programs.

- Part-time educational services (where full-time services cannot be provided)
- Medical diagnosis and educational evaluation
- Family counseling
- Inservice personnel training
- Alternative service programs: satellite homes, community residence programs, respite care
- Dissemination of information on methodologies, materials, curriculum, and proceedings of workshop and training services.

Program Effectiveness and Progress:

Program information suggests that the major drawback in reaching the program's goals is the acute shortage of trained teachers and teacher-aides. An estimated 500 to 600 additional teachers are needed to meet the needs of the known population of deaf-blind children. Current training programs are annually producing only 40 to 50 teachers with special qualifications for teaching deaf-blind children. Additionally, though facilities are available, many need to be modified or renovated to benefit these children. Lack of instructional materials and technology is another deterrent toward fulfillment of program goals.

Program monitoring information indicates that the Centers have been successful in terms of reaching increasing numbers of deaf-blind children. The 5,872 children served in FY 79 comprares favorably with 4,516 in FY 76 and represents a substantial increase over FY 69 when 100 children were served by six programs in the United States.

In FY 82 approximately 6,100 deaf-blind children were identified. During this year children continued enrollment in full and part-time educational programs. About 3,000 children received initial diagnosis and evaluation services. Parents continued receiving counseling and 3,000 teachers and aides were provided training related to problems of the deaf-blind population.

Current Analytic Activities:

The OSERS and RSA jointly planned a study to fund a needs assessment of services to Deaf-Blind individuals. The study is intended to: (1) determine the demographic characteristics of the deaf-blind population; (2) identify gaps in service delivery; (3) determine future needs; and (4) specify resources necessary to service needs identified for deaf-blind children and adults. The study should be initiated in FY 1982.

An "Evaluability Assessment" of the program was initiated in 1982 which has the purpose of determining information needs at the federal and local level that will be useful for program monitoring; determine the extent to which the program is operating as planned; formulate management and evaluation options to improve and/or modify program operations. Results are expected by September 1982.

Sources of Evaluation Data:

1. Office of Special Education and Rehabilitative Services, program data.

2. "Evaluability Assessment" of the Deaf-Blind Centers and Services Programs, AIR, due for completion September 1982.

For further information about program operations,

Contact: Slagle Allbritton
(202) 245-0085

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Early Childhood Education (CFDA No. 84.024)

Expiration Date:

September 30, 1983

Legislation:

P.L. 91-230, Part C of EHA,
Section 623, Early Education
for Handicapped Children

Funding History:	Year	Authorization	Appropriaiton
	1969	$ 1,000,000	$ 945,000
	1970	10,000,000	4,000,000
	1971	1/	7,000,000
	1972	7,500,000 2/	
	1973	3/	12,000,000
	1974	4/	12,000,000
	1975	25,500,000	14,000,000
	1976	36,000,000	22,000,000
	1977	38,000,000	22,000,000
	1978	25,000,000	22,000,000
	1979	25,000,000	22,000,000
	1980	25,000,000	20,000,000
	1981	20,000,000	17,500,000
	1982	20,000,000	16,800,000

Program goals and Objectives:

This program was designed to build the capacity of State and local educational agencies to provide comprehensive services for handicapped preschool children (birth through 8 years of age). The program supports demonstration and outreach projects in an attempt to accomplish this purpose. The Federal strategy is too (1) work cooperatively with Sites, through public and private non-profit agencies, (2) demonstrate a wide range of educational, therapeutic and coordinated social services in order to help establish competent State and local programs. Projects are expected to demonstrate the highest quality of available early education practices for handicapped children.

The following project strategies are used to facilitate the success of this program:

1/ thru 4/ Totals of $36,500,00 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973, were authorized for Pact C, EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

- Demonstration projects which are designed to develop service models based on current outstanding practices.

- Outreach Projects which are designed to disseminate model programs for replication.

- State implementation projects which are designed to assist States in planning and implementing part(s) of their respective early childhood state plans.

- Early Childhood Institutes which support long-term research into the complex problems of young handicapped children.

In an effort to disseminate high quality information and to develop effective management practices contracts are awarded to provide additional technical assistance to projects. And, in an effort to investigate specific areas of early childhood education for the handicapped with direct application to typical educational settings, contracts are awarded for experimental projects.

Program Operations:

This program provides grants and contracts annually on the basis of national competition. Each model demonstration project is approved for a three-year period, but receives second and third year funding on the basis of successful performance and availability of funds; each outreach project is approved for generally a three-year period, but receives second and third year funding on the basis of successful performance and availability of funds; and each state implementation grant is generally approved for a two-year period, but receives second year funding on the basis of successful performance and availability of funds.

The demonstration projects developed under this program include the following components:

- Developing and demonstration (1) services for young children with handicaps; and (2) assessment procedures for evaluating the progress of children. (Particularly those who are less than three years of age).

- Providing services to parents and family members including counseling and emotional support, information, opportunities for observation, practice and training, home carryover and involvement in project planning and evaluation.

- Providing inservice training to increase volunteer, paraprofessional, and professional staff effectiveness.

- Coordination with other agencies, especially the public school.

- o Disseminating information to professionals and to the general public concerning comprehensive programming for young children with handicaps.
- o Evaluating the effectiveness of project components to document the effectiveness of the project.

Program Scope:

According to program data, approximately 1,000,000 pre-school children (ages birth through eight years) have handicapping conditions. Approximately 30% of these children are being served in varying degrees through demonstration and outreach projects, Head Start and day care programs, public education programs and through State-supported activities.

This capacity building program will complement the main service efforts required of States and LEA's under P.L. 94-142. This strategy is implemented through the following types of projects: Demonstration projects provide for the direct support of initiating services and model development at the local level; outreach projects, working with the models of validated projects, disseminate information and emphasize the replication of their models in new locations, including working at the local and State levels; State implementation projects provide support in the implementation of State-wide plans to provide appropriate educational services to all preschool handicapped children in accordance with the provisions of P.L 94-142; technical assistance projects aid in needs assessment, program management, self evaluation, and packaging of models to facilitate the efforts of the demonstration and State implementation projects; and experimental projects develop and test new ideas for education of young handicapped children and test the effectiveness of these new approaches in typical educational settings.

During FY 82 this program supported 163 projects. Projects funded included: 96 new and continuation demonstration projects; 41 new and continuation outreach projects; 20 new and continuation state implementation projects; 2 technical assistance projects; and 4 early childhood institutes.

It is anticipated that the FY 82 appropriation (which will be spent in FY 83) will support 89 projects including 55 new and continuation demonstration projects, 20 new and continuation outreach projects, 10 new and continuation State implementation projects, 1 technical assistance project, and 3 research institutes. In addition, 5 BEH/OCD collaborative projects will be supported.

Program Effectiveness and Progress:

An evaluation of this program was completed in 1982. 5/

5/ Impact Survey of the Handicapped Children Early Childhood Programs by Roy Littlejohn Associates

The objectives of this impact study were to:

1. Determine the extent of (a) continuation of projects from non-HCEEP funds after the end of the three-year period of Federal support for demonstration; (b) replication of models-developed by the program; and (c) placement of children graduating from the projects.
2. Analyze factors affecting the impact of projects.
3. Collect descriptive and analytical information on some exemplary projects.

Surveys and site visitations were used to obtain data on the impact of 280 projects which completed the three-year demonstration period prior to 1981. Some of these projects also carried on outreach activities in response to requests from other agencies. The major findings of this study are that:

- Eighty percent of the 280 projects are still continuing to serve children independent of HCEEP funding, serving more than 30,600 children in continuation projects.
- Two thousand one hundred fifty-seven replications were identified; 166 from projects in the demostration phase, the remainder as a result of outreach activities.
- For each child served directly in the demostration projects, 6.4 children received services through continuation of demonstration projects and through replication of projects. Replication projects served 107,850 children.
- Fifty-five percent of the children who leave HCEEP demostration projects are placed in integrated settings with non-handicapped children, which is lesss expensive than more specialized placements.
- Sixty-seven percent of the children who leave HCEEP demostration projects perform in the averge and above average range in relation to their peers, according to HCEEP staff.
- Twenty-one HCEEP projects have been approved for dissemination by the Joint Dissemination Review Panel of the Department of Education on the basis of evidence of effective programming replication cost.

- More than 3,000 products have been developed by HCEEP projects and widely disseminated, many through commerical publishers extensive amounts of training have been requested and provided to personnel of other agencies.

Current Analytic Activities:

None

Sources of Evaluation Data:

Office of Special Education and Rehabilitation Services.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-0085

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Severely Handicapped Projects (CFDA No. 84.086)

Legislation:

P.L. 91-230, Part C of EHA,
Section 624

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
1974	1/	$ 2,247,000
1975	2/	2,826,000
1976	2/	3,250,000
1977	3/	5,000,000
1978	3/	5,000,000
1979	3/	5,000,000
1980	3/	4,375,000
1981	3/	2,880,000
1982	$ 5,000,000	

Program Goals and Objectives:

The goal of this program is to establish and promote effective innovative practices in the education and training of severely handicapped children/youth. Demonstration projects funded under this program are designed to develop and refine identification, screening, diagnostic, and prescriptive procedures and instruments; develop, demonstrate, and refine model curriculum, methodology, and educational materials; and package and disseminate model project findings and products such as curriculum guides and educational materials.

1/ Funds in 1974 derived from Part C, Section 621 (Regional Resource Centers), Section 623 (Early Childhood Projects), and Part F (Media Services and Captioned Films). Total authorization for Part C in 1974 was $66,500,000; for Part F, $20,000,000.

2/ Funds in 1975 and 1976 derived from Part C, Section 621 (Regional Resource Centers), and Section 623 (Early Childhood Projects).

3/ Funds are authorized under Part C, Section 621.

The ultimate educational and training goal for severely handicapped children is to provide appropriate self-development experiences to this population. These experiences are designed with the objective of helping the severely handicapped reach their maximum potential of developing into self-sufficient individuals in normalized, community/home/neighborhood environments. This program is a major vehicle for the implementation of P.L. 94-142. Therefore, the Federal strategy is to eventually cover all States or sparsely populated multi-State regions with demonstrations appropriate to statewide needs.

Expected strategies with the FY 82 appropriation will be to:

- Fund projects for severely handicapped children/ youth which target on (a) public school service facilitating social integration; (b) functional curricula across domestic living, recreational and commercial domains; (c) qualitative service improvement through innovative practices; and (d) deinstitutionalization into least restrictive environments.
- Fund projects for autistic children which will emphasize the development of communication and social skills and demonstrate and replicate information and findings in these skill areas throughout the Nation.
- Fund projects to encourage comprehensive state-wide planning of delivery systems for the severely handicapped in rural and urban geographic areas.
- Support long-term programmatic research through the funding of research institutes.

Program Operations:

To accomplish the objectives of this program, contracts are awarded competitively on a 1-year basis, with continuation funding for a second and third year based upon the project's effectiveness, replicability, and availability of funds. Eligible contractees are State department of education, intermediate or local education agencies, institutions of higher education, and other public or nonprofit private agencies.

Program Scope:

Program data (FY 78) indicate that approximately 388,200 severely handicapped children receive some services from Federal, State and private sources. Program staff estimate that there are

1,404,948 severely handicapped children (ages 0-19) in the Nation. Of these children, 465,000 are severely or profoundly mentally retarded; and 905,000 are seriously emotionally disturbed (e.g., autistic or schizophrenic) and 34,948 have multiple handicaps.

Comparative statistics prepared by ED indicate that the total number of severely handicapped children needing specialized services has remained fairly constant over the past 7 years. The least severely handicapped are gradually being integrated into less restrictive service environments, but past decreases have been offset by an increase in the number of severely handicapped children identified as needing specialized services.

States have historically failed to make educational services available to all severely handicapped children. With the passage of P.L. 94-142 the number of unserved handicapped children has been significantly reduced. This law has required that if a State receives Federal financial aid under this Act the State must provide free, appropriate public education FAPE) to all handicapped children ages 3-18 by September 1978, and to all children between 3 and 21 by 1980, to the extent allowable by State law or practice. Accordingly to Federal law, all States are required to give the second highest priority to providing a FAPE to all severely handicapped children within each disability group.

In fiscal year 1982, (1981 appropriation) 5 projects were continued at a cost of $840,000 while 12 new awards were made at a cost of $3,535,000. Four projects have applied for Department of Education validation as exemplary demonstration models. Approximately 3,000 children will participate in programs during FY 81.

Current Analytic Activities

None

Source of Evaluation Data:

Office of Special Education and Rehabilitative Services

For further information about program operation,

Contact: Slagle Allbritton
(202) 245-0085

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Education Programs (CFDA No. 84.078)

Legislation:

P.L. 91-230, Part C, Section 625,
Regional Education Programs

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
1975	$ 1,000,000	$ 575,000
1976	1/	2,000,000
1977	1/	2,000,000
1978	10,000,000	2,400,000
1979	12,000,000	2,400,000
1980	14,000,000	2,400,000
1981	16,000,000	2,950,000
1982	4,000,000	2,832,000

Program Goals and Objectives:

The purpose of the program is to enhance the acquisition by handicapped students of skills for successful career competition in the professional, skilled and unskilled labor markets. Institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate nonprofit educational agencies are eligible to receive awards for the development and operation of specifically designed or modified programs of vocational, technical, post-secondary, or adult education for deaf or other handicapped persons.

Program Operations:

Grants or contracts may be awarded to institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate nonprofit educational agencies. These grants and contracts are awarded for the development and operation of specifically designed or modified programs of vocational, technical, postsecondary, or adult education for deaf or other handicapped persons. Priority consideration

---

1/ Such sums as become necessary

is given to:

- Programs serving multi-State regions or large population centers.
- Programs adapting existing programs of vocational, technical, post-secondary, or adult education to the special needs of handicapped persons.
- Programs designed to serve areas where a need for such services is clearly demonstrated.

Program Scope:

In FY 82, a total of 23 programs were in operation. In addition to the four regional programs serving over 600 deaf students, 19 demonstration programs provided special support services to 500 other handicapped students, and to an estimated 20,000 other handicapped students indirectly through the technical assistance and conferences and workshops. New projects represented efforts at identification of best practices, cost-effective ways of providing support services, and a needed information exchange where such information could be obtained by institutions of higher education wishing to initiate and/or improve service in this area.

The types of services provided were: tutoring, counseling, adaptive recreational pursuits, notetaking, interpretation, wheelchair/personal attendance, and adaptation of instructional media to meet the unique needs of the handicapped. It is estimated that better than 95% of the handicapped students who complete their studies with the benefit of the services supported by this program are employed in positions commensurate with their abilities.

Current Analytic Activities

None

Source of Evaluation Data:

Office of Special Education and Rehabilitation Services.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-0085

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Education Personnel Development (CFDA No. 84.029)

Legislation:

P.L. 91-230, Part D, Sections 631, 632, and 634 of EHA, Training Personnel for the Education of the Handicapped, as amended by P.L. 93-380 and P.L. 95-49

Expiration Date:

September 30, 1983

Funding History:	Year	Authorization	Appropriation
	1966	$ 19,500,000	$ 19,500,000
	1967	29,500,000	24,500,000
	1968	34,000,000	24,500,000
	1969	37,500,000	29,000,000
	1970	57,000,000	35,610,000
	1971	1/	32,600,000
	1972	2/	34,645,000
	1973	3/	39,660,000
	1974	4/	39,615,000
	1975	45,000,000	37,700,000
	1976	52,000,000	40,375,000
	1977	50,000,000	45,375,000
	1978	75,000,000	45,345,000
	1979	80,000,000	57,687,000
	1980	85,000,000	55,375,000
	1981	90,000,000	43,500,000
	1982	58,000,000	49,300,000

Program Goals and Objectives:

The objective of this program is to ensure an adequate supply of educational personnel competent to deal with the special educational problems of the handicapped. This program provides financial assistance to train special and regular classroom teachers, supervisors, administrators, researchers, teacher educators, speech correctionists, and other special service personnel such as specialists in physical education and recreation, music therapy, and paraprofessionals. Persons trained under this program come from a variety of professional backgrounds. Training is not limited to persons with a background in education.

1/ thru 4/ Totals of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973 were authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virture of the one-year extension contained in GEPA.

Program Operations:

In order to accomplish the objectives of this program, the program awards grants to institutions of higher education, State education agencies, local education agencies, and other appropriate nonprofit agencies. Grants are generally awarded for a three-year period. In FY 1982 with a series of 12 priorities were used on a preservice and inservice basis. The system allows for funding allocations based on various priorities of differential needs such as stipends, faculty salaries, or curriculum development. All awards are made on a 12-month basis with continuation into the second and third years contingent on the availability; of funds. The program is forward-funded with the minimum award being $1,000 and the average award approximately $60,000.

Through this program financial assistance is given to individuals for preservice; i.e., full-time students specializing in special education. Additionally, inservice training is a major priority for both regular education teachers and for special education personnel.

Program Scope:

During FY 82 the program provided pre-service training for 7,174 special educators and support personnel for both regular and special education at a cost of $28,517,000. It also provided inservice training for 21,131 special educators, 82,821 regular classroom teachers, 23,396 administrators and supervisors, and [illegible]5,876 other school and support personnel. With FY 80 program funds the following activities were carried out:

1) Preparation of Special Educators:

   - o Inservice and preservice training for education specialists servicing handicapped children aged birth through 6 years of age. Many trainees work with handicapped children in regular educational programs upon graduation.

   - o Train special education personnel to serve the severely and multi-handicapped (including emotionally disturbed and autistic) and/or to meet national and regional needs for low incidence target groups. P.L. 94-142 requires provision of appropriate education for the most severely handicapped child, within each disability.

2) Preparation of Support Personnel for Regular and Special Education:

   - o Train paraprofessionals to assist both special educators and regular classroom teachers.

   - o Train specialists in physical education or therapeutic recreation to integrate appropriate techniques into a child's overall education program. These additional types of services are required so that many handicapped children can function in a regular classroom situation for at least a part of each day.

- Prepare specialists from various related fields, such as the health and social sciences to integrate educational information, metholodology and practices for the handicapped child into their support functions.
- Provide training in handicapping conditions so that specialists will be effective in providing services to the handicapped.
- Train personnel in vocational and career education to provide program for the handicapped or to include them in their regular programs.
- Support programs designed to recruit and train parents and other volunteers to work in education programs for the handcapped.

3) Special Education Training for Regular Education Teachers

Provide special education training to personnel preparing for regular classroom teaching and administration; and provide inservice training for regular classroom personnel already in the field. P.L. 94-142 specifies that handicapped children be placed in the least restrictive environment. Large numbers of regular room personnel are encountering handicapped children in their classrooms. The need for training continues to increase. Programs may include supportive services from special education personnel who work with handicapped children.

4) Instructional Models:

Two activities are funded which train personnel and which develop new models of instruction for the preparation of personnel who teach the handicapped. The activities are (1) the support and development of postdoctoral training programs; (2) the identification and dissemination of cost-effective training models.

Program Effectiveness and Progress:

Program estimates based on P.L. 94-142 Annual Program Plans prepared by each State indicate that in order for the educational system to meet its full service commitment, an additional 64,000 specially trained teachers were needed for September 1978. This did not consider attrition, only known vacancies.

The P.L. 94-142 specification that handicapped persons be placed in the least restrictive educational environment has resulted in increasing numbers of regular classroom teachers encountering handicapped children. Current emphasis is being placed upon institutions of higher education (IHE) Deans Grants, changing elementary and secondary curricular to improve the capability of regular classroom teachers to work effectively with children with handicapping conditions. The training is expected to emphasize:

- Knowledge of the handicapped including attitude and awareness training
- Teaching methodologies used with handicapped children
- Classroom management skills
- Utilization of specialized and ancillary personnel to provide support services

In addition, regular education inservice projects (REGI) which represent more than 200 projects are developing models which can be replicated by either SEAs or LEAs, using P.L. 94-142 funds. Projects have been funded in all 50 States and two territories. These models are being developed and training initiated by a variety of agencies and organizations - IHEs, SEAs, LEAs, IEUs, research groups and professional organizations.

Current Analytic Activities:

A study of the effectiveness of projects providing inservice training to regular classroom teachers began in FY 1979.

Source of Evaluation Data:

Special Education Programs

For further information about program information,

Contact: Slagle Allbritton
(202) 245-0085

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Recruitment and Information (CFDA No. 84.030)

Legislation:

P.L. 91-230, Part D of EHA
Section 633, Recruitment of
Educational Personnel and Information Dissemination

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
1966		
1967		
1968		
1969	$ 1,000,000	$ 250,000
1970	1,000,000	475,000
1971 1/		500,000
1972 2/		500,000
1973 3/		664,000
1974 4/		500,000
1975	500,000	500,000
1976	500,000	500,000
1977	1,000,000	1,000,000
1978	2,000,000	1,000,000
1979	2,000,000	1,000,000
1980	2,500,000	1,000,000
1981	2,500,000	750,000
1982	1,000,000	720,000

Program Goals and Objectives:

This program is designed to encourage people to enter the field of special education, to disseminate information and provide referral services for parents of handicapped children, and to assist them in their attempts to locate appropriate diagnostic and educational programs for their children.

1/ thru 4/ A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973, was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operation:

This program operates by providing nonmatching grants or contracts to public or nonprofit private agencies, organizations, or institutions with the requirement that such funds be used for:

- o Encouraging students and professional personnel to work in various fields of education of handicapped children and youth through developing and distributing innovative materials to assist in recruiting personnel for such careers, and by publicizing information about existing forms of financial aid which might enable students to pursue such careers.
- o Disseminating information about the programs, services, and resources for the education of handicapped children, or providing referral services to parents, teachers, and other persons especially interested in the handicapped.

Program Scope:

Implementation of the Education for All Handicapped Children Act (P.L. 94-142) has resulted in a significant number of inquiries about education for the handicapped. To promote a greater awareness of the availability of services for the handicapped, the $720,000 appropriation (FY 1982) went to:

- o Develop, produce and distribute information generated by parents to be used by all persons interested in providing services for the handicapped.
- o Continue development of information packages for Indians, the disadvantaged, those of limited English-speaking ability, and the geographically isolated.
- o Continue operation of the Information Clearinghouse which develops, produces and distributes informational packets on available services for the handicapped. Recipients of this information include the handicapped, parents of the handicapped, or any other persons who may be interested in finding out what is available for the handicapped.
- o Continue to reach a concerned constituency through the Closer Look Report.

Of the 4 projects underway in fiscal year 1982, 2 will continue in FY 83. Those activities include a contract for an information clearinghouse and a contract to advertise the services of the clearinghouse (media outreach campaign).

Current Analytic Activities:

None

Sources of Evaluation Data:

Office of Special Education and Rehabilitative Services program data.

For further information about program operation,

Contact: Slagle Allbritton
(202) 245-0085

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Innovation and Development (CFDA No. 84.023)

Legislation:

P.L. 91-230, Part E of EHA, Sections 641, 642 as amended by P.L. 93-380 and P.L. 94-49, Research in the Education of the Handicapped

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
1964	$ 2,000,000	$ 2,000,000
1965	2,000,000	2,000,000
1966	6,000,000	6,000,000
1967	9,000,000	8,000,000
1968	12,000,000	11,100,000
1969	14,000,000	12,800,000
1970	18,000,000	13,360,000
1971	27,000,000	15,300,000
1972	35,500,000	15,755,000
1973	45,000,000	9,916,000
1974		9,916,000
1975	15,000,000	9,341,000
1976	20,000,000	11,000,000
1977	20,000,000	11,000,000
1978 1/	20,000,000	20,000,000
1979	22,000,000	20,000,000
1980	24,000,000	20,000,000
1981	26,000,000	15,000,000
1982	20,000,000	10,800,000

Program Goals and Objectives:

Innovation and development activities attempt to improve the effectiveness and efficiency of the educational system and its provisions for handicapped children by supporting the development and validation of new service models, by packaging information in usable form, and by systematically disseminating this information.

1/ As of FY 1978 projects previously funded under the Specific Learning Disabilities program are funded under the Innovation and Development program, accounting for the substantial increase in appropriation.

Program Operations:

This program is concerned about improving educational opportunities for handicapped children through support of decision-oriented research and related activities. Support includes grants or contracts for research, surveys, or model demonstrations relating to education of handicapped children. Additionally, grants are made for similar activities relating to physical education or recreation for handicapped children. Activities are integrated in a planned pattern to support teacher training and the special service functions of the total Federal program for handicapped children.

Grants and/or contracts are made to State or local educational agencies, institutions of higher education, and other public or private educational or research agencies and organizations. Awards are made based on national competition. Projects are approved for periods ranging from 1 to 5 years. Generally awards are made for one year with continued funding based on quality performance and availability of funds.

Program Scope:

In FY 82, 64 research projects were supported; of these 36 were new efforts and 28 were continuations of projects begun in previous years. These projects supported research on programs for orthopedic and otherwise health impaired children, hearing impaired children, programs for the mentally retarded, programs for speech impaired, visually impaired, emotionally disturbed, learning disabled, and other programs classified as noncategorical. The largest expenditure was allocated to noncategorical programs.

In addition to the research projects this program supported 29 model demonstration projects, all non-competitive continuation awards. nineteen of these projects supported model demonstration centers, nine were research institutes and one provided technical assistance in demonstration techniques. Increased interest in secondary level programs was again a feature of the 1982 program.

During FY 82 the Innovation and Development program will have produced over 50 products and materials relating to the education of handicapped children and 40 publications in professional journals, processed over 185 research reports, and provided model programs to some 1,100 handicapped children.

Current Analytic Activities:

None

Source of Evaluation Data:

Office of Special Education and Rehabilitation Services.

For further information about program operation,

Contact: Slagle Allbritton
(202) 245-0085

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Media Services and Captioned Films (CFDA No. 84.026)

Legislation:

P.L. 91-230, Part F of EHA, Sections 652 and 653; as amended by P.L. 93-380, and P.L. 94-142, Instructional Media for the Handicapped

Expiration Date:

Indefinite

Funding History	Year	Authorization	Appropriation
	1967	$ 3,000,000	$ 2,800,000
	1968	8,000,000	2,800,000
	1969	8,000,000	4,750,000
	1970	10,000,000	6,500,000
	1971	12,500,000	6,000,000
	1972	15,000,000	6,000,000
	1973	20,000,000	13,000,000
	1974	20,000,000	13,000,000
	1975	18,000,000	13,250,000
	1976	22,000,000	16,250,000 1/
	1977	22,000,000	19,000,000
	1978	24,000,000	19,000,000
	1979	25,000,000	19,000,000
	1980	27,000,000	19,000,000
	1981	29,000,000	17,000,000
	1982	19,000,000	11,520,000

Program Goals and Objectives:

This program supports grants or contracts for the purpose of providing special educational materials to handicapped learners. Educational materials are produced and distributed for use by the handicapped, their parents, actual or potential employers, and other interested persons in order to meet this objective. Program funds are used to caption and distribute films and other visual training

---

1/ In April 1975, litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 Continuing Resolution. Of these funds, $1,012,332 was used in the Media Services and Captioned Films program during fiscal year 1976, increasing obligations over 1976 by that amount.

media to assist deaf persons and to train persons in the techniques of using educational media for instructing the handicapped. Additionally, media development centers are funded to conduct research for advancing the art of developing appropriate educational media for the handicapped.

Program Operations:

To accomplish program objectives, a loan service has been established for captioned films for the deaf and related educational media for the handicapped. Educational materials are made available in the United States for nonprofit purposes to handicapped persons, parents of handicapped persons, and other persons directly involved in activities for the advancement of the handicapped. Activities permissible for this purpose include: the acquisition of films and other educational media for purchase, lease or gift; acquisition by lease or purchase of equipment necessary for the administration of the above. Contracts are provided for the captioning of films and for the distribution of films and other educational media and and equipment through State schools for the handicapped and other appropriate agencies which serve as local or regional centers for such distribution. Additionally, grants or contracts provide for research in the use and production of educational and training media. Provisions are made for the distribution of the materials, for utilizing the services and facilities of other governmental agencies and for accepting gifts, contributions, as well as voluntary and uncompensated services of individuals and organizations. Projects are approved for periods of up to 36 months; however, awards are made annually, with renewals funded on the basis of a project's effectiveness, the replicability of its elements and availability of funds.

Program Scope:

During FY 82 the following types of activities were supported under this program:

- Educational Media and Materials Centers
- Captioned Films for the Deaf
- Captioned Television and Telecommunications Research
- Marketing and Implementation Activities
- Recordings for the blind
- National Theatre of the Deaf
- Development of Educational Technology

Educational Media and Material Centers were funded for the severely handicapped and the hearing impaired. The legislatively mandated centers provided support for the design, adaptation, development and production of media and materials geared to the unique learning problems of these populations. Awards were made to ensure that products developed for the handicapped were distributed to consumers and grants were awarded to provide for research, development, and production in the utilization of educational technology to further advance this field. In addition, Captioned Films distributed to deaf adults and to schools and classes for the deaf reached approximately 4,000,000 deaf persons of all ages. Captioned television news reached an estimated 6 million persons daily per broadcast from over 140 stations including American Samoa. To implement closed captioned television for the hearing impaired, the National Captioning Institute was created to develop the captions for broadcasting.

During FY 82 this program provided a total of 126 awards to support:

1) Educational Media and Materials Centers: These centers which were first funded in FY 77 in response to congressional interest were continued. Emphasis was on the systematic delivery of educational technology to special populations through the design and/or adaptation, development, and production of appropriate education materials. The centers also provided training in the selection and use of these materials and promoted the utilization of materials available for circulation.

2) Marketing and Implementation Strategy: Through the marketing linkage project, models of curricula and materials designed for the handicapped were widely distributed among handicapped consumers. This activity helped to promote testing and development of promising prototypes of educational devices for production models.

   The production of custom-made tape of textbooks for distribution to blind elementary and high school students was continued through other marketting contracts.

3) Captioning and Recording: A total of 74 awards were made to continue the adaptation, development, production and distribution of devices incorporating the most recent technological and telecommunicative advancements in television and recording. The program captions programs for the deaf and develops new television programming for the handicapped, and develops educational programming for parents of the

handicapped. Support for the production of recordings for the blind and print-handicapped was continued.

4) National Theatre of the Deaf. Support continued for the National Theatre of the Deaf. This Theatre serves as a talent center for activities in theatre arts, providing vocational, educational, cultural and social enrichment for the deaf.

5) Grants Program for Media Research and Development: Projects remaining in FY 82 focus on research to identify and meet the full range of special needs of the handicapped relative to educational materials and technology. Included are demonstrations of new or improved methods, approaches, or techniques which are designed to assist handicapped individuals adjust to their disability. Additionally, the creation or adaptation of media and technology to aid the handicapped are supported by this program. The media or technology are designed for use by handicapped persons, their parents, actual or potential employers, and others who are involved with the handicapped.

Program Effectiveness and Progress:

An evaluability assessment of the Captioned Films Loan Service for the Deaf was completed in 1982. The purpose was to determine this part of the program should be evaluated and what changes may be needed to make it more manageable and accountable. The major recommendations from that study are as followed:

- Captioned Films and Media Applications Branch should review the efficiency of its own film acquisition, spotting list, captioning responsibilities, and consider consolidating these responsibilities into a single contract, either with SMP or some other organization. At present, there appears to be "slippage" in the system at these points, while SMP waits for CFMS to take its appropriate actions in moving selected films through the acquisition and captioning process.

- Captioned Films and Media Applications Branch should direct Special Material Project to review, strengthen, and/or replace its present field evaluation procedures to upgrade the quality of educational film evaluations and the efficiency of the field evaluation process. At present, many films evaluated in the field are not certified by SMP's workshops participants when presented for evaluation. Films captioned in the field are sometimes not captioned appropriately.

- CFMA should consider providing films to consumers through videotape and/or other media. A pilot test of these alternatives might occur during FY83. The intent of this would be to assess efficiency and cost in captioning and distribution versus consumer preference. It should be noted that SMP has undertaken a feasibility study in this area and this information should be used by CFMA to guide its investigation.

- CFMA should consider providing funds through SMP to the depositories, allowing them to: (1) train school consumers to use available services effectively, and (2) conduct outreach activities to expand consumer registries.

- CFMA should clarify the extent to which it is invested in the maintenance of its Handicapped Learner and Advocacy Materials collections. SMP expends funds at present to maintain these collections at a minimal level. However, there is little or no circulation.

- CFMA should adapt the current intermediate objective of "expanding the number of consumers as a percentage of the total deaf population." There is confusion as to whether the overall intent of the program is to operate a system that reaches its present users efficiently, or to expand services to ever larger numbers of consumers. It is unknown at present what percentage of the total consumer population participates in educational captioned films and theatrical captioned films services. If the intent of the program is to demonstrate not only the efficiency of its services but the increased effectiveness in reaching the deaf population, then CFMA should provide funds through SMP to the depositories to undertake formalized outreach activities. The intent would be to increase the percentage of the eligible users actually participating in the services.

- Upgrade current evaluation procedures, for example:
  - Institutionalize the formal needs assessment survey of film users begun in 1982; and

- Refine ECF and TCF consumer response cards to collect the specific categories of information in which SMP is interested.

° Conduct a Rapid Feedback Assessment of the issues summarized in the measurement model. This short-term study could quickly provide CFMA with information to demonstrate the program's effectiveness, and improve the program's performance.

Current Analytic Activities:

None

Source of Evaluation Data:

Office of Special Education and Rehabilitative Services.

"Evaluability Assessment of the Captioned Films Loan Service for the Deaf, AIR, May 1982.

For further information about program operation,

Contact: Slagle Allbritton
(202) 245-8355

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Studies

Legislation:	**Expiration Date:**
Section 618 of Part B of EHA, as added by P.L. 94-142	Not Specified

Funding History:	Year	Authorization	Appropriation
	1977	1/	$ 1,735,000
	1978	1/	2,300,000
	1979	1/	2,300,000
	1980	1/	1,000,000
	1981	1/	1,000,000
	1982	$2,300,000	480,000

Program Goals and Objectives:

The purpose of this program is to evaluate the effectiveness of the states in providing a free appropriate public education to all handicapped children as mandated by Public Law 94-142, the Education for All Handicapped Children Act of 1975. The evaluation activities identify both the problems and the success State and local education agencies are having in implementing the law. The formation from these activities is used in reporting to Congress on the progress being made in meeting the full educational opportunity goal specified in P.L. 94-142. The evaluation activities and the annual report to Congress are mandated by Section 618 of the law.

Program Operations:

The Secretary conducts, directly or by grant or contract, studies to accomplish the goals of Part B of the Education for All Handicapped Children Act.

Program Scope:

Evaluation studies funded have focused around the following questions:

- Are we serving the intended beneficiaries?
- Where are the beneficiaries being served?

1/ Such sums as may be necessary.

- What services are being provided to children?
- Do services provided meet the intent of the law?
- What administrative mechanisms are in place?
- What are the consequences of implementing the law?

Studies and technical assistance activities underway or completed in FY 82 are designed to:

1. Describe and evaluate the special education and related services available and provided to handicapped children across the nation.
2. Describe the effects student characteristics and school distinct practices and policies have on the transfer of students from special to regular education programs.
3. Describe the procedures used by states and by school districts for making decisions about the settings in which handicapped children will be educated and identify the standards used by judges and hearing officers in setting least restrictive environment disputes.
4. Describe administrative strategies which facilitate the successful inclusion of handicapped children in the least restrictive environment and provide technical assistance to State and local education agencies in implementing these strategies.
5. Examine the placement options available to handicapped secondary school students and compare the academic courses, non-academic courses, vocational education opportunities, and after-school activities of handicapped and nonhandicapped secondary students. In addition, assist administrators in expanding program options and program flexibility for secondary students.
6. Describe the content and the quality of individualized education programs across the nation.
7. Examine the procedures used in urban school districts for evaluating students who have been referred for special education assessment. Identify strategies for increasing the efficiency of the assessment process and provide technical assistance to local education agencies in implementing these strategies.
8. Describe strategies for improving the procedures schools use in obtaining informed parental consent for special studies education assessment and placement decisions.

9. Provide technical assistance to state and local education agencies for improving child count and child find procedures, reducing individualized education program paperwork, and implementing interagency agreements.
10. Examine the procedures used by large, medium, and small school districts in financing special education in order to better understand the flow and use of P.L. 94-142 funds.
11. Evaluate the impact of P.L. 94-142 on the child and the family through the use of in-depth case studies.
12. Describe and evaluate the progress being made in implementing the provisions of P.L. 94-142.

Current Analytic Activities:

An evaluation of this program is not planned.

Sources of Evaluation Data:

Office of Special Education and

For further information about program information,

Contact: Slagle Allbritton
(202) 245-0855

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Rehabilitation Basic Grants (CFDA No. 84.126)

Legislation:

Rehabilitation Act of 1973, as amended
Title I, Parts A and B except Section 112

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
1966	$ 300,000,000	$ 160,500,000
1967	350,000,000	236,000,000
1968	400,000,000	287,000,000
1969	500,000,000	345,900,000
1970	600,000,000 1/	436,000,000
1971	700,000,000 1/	503,000,000
1972	700,000,000 1/	560,000,000
1973	800,000,000 1/	589,000,000
1974	650,000,000	650,000,000
1975	680,000,000	680,000,000
1976	720,000,000	720,309,000 2/
1977	740,000,000	740,309,000 2/
1978	760,000,000	760,472,000 2/
1979	808,000,000	817,484,000 3/
1980	880,000,000	817,484,000 3/
1981	945,000,000	854,259,000 3/
1982	899,000,000	863,040,000

1/ 1970, Revised ($500,000,000)
1971, Revised ($515,000,000)
1972, Revised ($580,000,000)
1973, Revised ($600,000,000)

2/ Includes an additional amount for North Dakota under a separate authorization.

3/ Includes additional amounts for Federal maintenance of effort under a separate authorization.

Program Goals and Objectives:

The purpose of this program is to provide assistance to States in the administration and operation of vocational rehabilitation programs designed to meet the current and future needs of handicapped individuals so that they may prepare for and engage in gainful employment. Handicapped individuals are persons who have a physical or mental disability which for such individuals constitutes or results in a substantial handicap to employment and who can reasonably be expected to benefit in terms of employability from vocational rehabilitation services. There is a statutory requirement for priority in the provision of services to severely disabled individuals.

Program Operations:

Grants to States are allocated on a formula basis involving population and per-capita income to conduct vocational rehabilitation programs. These programs are conducted by designated State agencies under an approved State plan. There is a 20 percent State fund matching requirement. The designated State operate statewide programs through district and local offices.

At the Federal level, program policy, leadership, and monitoring is the responsibility of the Rehabilitation Services Administration, including ten Regional Offices. Financial and statistical program reports are submitted to the Federal agency. Also, comprehensive individual case records (converted in most instances to computer tape) are utilized for management information at the State and Federal level. In addition, as required by statute, program evaluation studies are scheduled each year, and State agencies have been assisted in establishing or improving program evaluation conducted by RSA with most direct and on-site contact being handled by the Regional Offices.

Although sole State agencies are required, an exception at State option allows for separate agencies to serve blind and visually handicapped individuals. Eligible individuals are those who meet the definition of "handicapped individual". Diagnostic and evaluation services are authorized to determine eligibility and the nature and scope of services needed. All services are provided in accordance with an Individualized Written Rehabilitation Program (IWRP).

Program Scope:

After a twenty-year rise starting in the mid-1950's, the number of persons served and rehabilitated per year has been decreasing in recent years. This has resulted from the priority to serve severely handicapped individuals for whom services are much more costly than for non-severely disabled persons, along with funding which has not kept up with inflation. During FY 1981, the proportion of severely handicapped to total persons served continued to increase accounting for well over half of the total caseload. However, the absolute, number of severely disabled persons served and rehabilitated declined for the second year in a row. is available. A possible explanation is that the program has reached a saturation point with regard to the growth in services to severely handicapped persons caused by level funding and persistent increases in inflation.

The services authorized under the vocational rehabilitation program are any goods and services necessary to render a handicapped individuals employable, including, but not limited to, the following: (1) diagnostic and evaluation services, (2) counseling, guidance, referral, and job placement including follow-up and post-employment services necessary to maintain employment, (3) vocational and other training services, including personal and vocational adjustment, books, and other training materials, and services to the families of handicapped individuals when necessary to the adjustment or rehabilitation of the handicapped individuals when necessary to the adjustment or rehabilitation of the handicapped individuals, (4) physical and mental restoration, including but not limited to corrective surgery or therapeutic treatment, hospitalization, prosthetic and other orthopedic devices, special services for treatment of persons suffering from end-state renal disease, (5) maintenance, not exceeding the estimated cost of subsistence during rehabilitation, (6) interpreter services for deaf persons and reader services for blind persons, (7) recruitment and training services for new employment opportunities in certain health and public service areas, (8) rehabilitation teaching and orientation and mobility services for the blind, (9) occupational licenses, tools, equipment, and initial stocks and supplies, (10) transportation in connection with services, (11) telecommunications, sensory and other technological aids and devices, (12) services provided for the benefit of groups of handicapped individuals such as management services for the operation of small businesses by severely handicapped individuals, construction and establishment of rehabilitation facilities, the use of existing telecommunications systems, and the use of recorded material for the blind and captioned films or video cassettes for the deaf. Except for services (1) through (3), above, the State agency is required to make full consideration of eligibility for similar benefits under any other program before expending its own funds.

In 1981, there was a definite trend toward cost reduction, including controls which limit who shall be served under the program under the "order of selection" provision in the statute.

From the individual case service repor (RSA-300), RSA prepares a characteristic report. Among the 23 tables in the latest such report 1980 is one showing the major disabling conditions of persons rehabilitated. The following is a summary of that table.

Major Disabling Condition	Number	Percent
Total Rehabilitation - FY 1980	277,136	
Total Reporting Disability	275,064	100.0
Blindness	9,535	3.5
Other Visual Impairments	14,992	5.5
Deafness	7,630	2.8
Other Hearing Impairments	11,049	4.0
Orthopedic Impairments	59,995	21.8
Absence or Amputation of Extremities	7,185	2.6
Mental Illness	53,430	19.4
Alcoholism	13,325	4.8
Drug Addiction	3,363	1.2

(continued):

Major Disabling Condition	Number	Percent
Mental Retardation	32,265	11.7
Diabetes	4,015	1.5
Epilepsy	5,250	1.9
Heart Disease	7,288	2.7
Digestive System Conditions	13,970	5.0
Genitourinary Conditions	8,311	3.0
All Other Disabling Conditions	23,461	8.5

The mean cost of purchase services per rehabilitated person for four consecutive years is shown below. These are life-of-the-case costs and do not pertain to any particular fiscal year. Not included are costs which cannot readily be assigned to individual clients such as program administration, salaries of counselors, expenditures for construction, establishment of facilities, and other services for groups. They also do not include expenditures for services to individuals who were still on the rolls at the end of a year, nor costs for clients closed "not rehabilitated" during a year.

Fiscal Year of Rehabilitation Closure	Mean Cost of Services for Rehabilitated Clients
1977	$1,137
1978	1,187
1979	1,258
1980	1,343

Program Effectiveness and Progress:

Evaluation program data show that:

(1) Despite declining numbers of persons being served and rehabilitated, the State-Federal program is still cost-beneficial.

(2) Total rehabilitations in FY 81 declined to 255, 881, the sixth loss in seven years, and the lowest level in 12 years.

(3) Total cases served fell to 1,038,232, the sixth consecutive annual decrease.

(4) The number of severly diabled persons served and rehabilitated decreased for the second consecutive year, but their proportion to the total served and rehabilitated continued to rise.

A tabular summary of some of the most important trends in recent years is as follows:

ITEM	Fiscal Year			
	1981	1980	1979	1978
Persons rehabilitated, total	255,881	277,136	288,325	294,396
Persons served, total	1,038,232	1,095,139	1,127,551	1,167,991
Severely disabled, rehabilitated	130,500	142,375	143,375	138,402
Percent disabled, served	600,727	606,049	611,994	600,063
Percent severely disabled, rehabilitated	54.1	51.4	49.9	47.0
Percent serverly disabled, served	57.9	55.3	54.3	51.4
Benefit (to individual)/cost ratio	NA	$10.40	$10.90	$10.80

Because of the availability of detailed individual client information on case service costs, wages at closure, etc., cost-benefit analyses are relatively easy in the vocational rehabilitation program as compared to other social service programs. Based on data projected from FY 1980, it is estimated tha benefits in terms of improvements in earnings over a working lifetime for persons rehabilitated in FY 1980 will amount to $10.40 for every $1.00 expended in the program on all persons, whether rehabilitated or not, whose cases were closed out that year. The same group of rehabilitated persons will generate revenues for all levels of government plus savings in public support that in four years will equal the total cost of rehabilitation for all cases closed that year.

Evaluation studies and analyses of the vocational rehabilitation program are too numerous to specifically summarize or list in this report. These include analyses of program data, studies conducted under the research and demonstration program (now NIHR), program administrative and management reviews conducted as part of annual RSA operational work plans, and contracted evaluation studies. RSA recently completed a national 5-year evaluation follow-up of VR clients. A major findings was that these clients retained the benefits of rehabilitation overtime.

Current Analytic Activities:

Case Review Schedule Project
Management Control Project
Berkley Planning Associates Study on Program Standards
Evaluability Assessment
Functional Assessment of Handicapped People
R&D's
Evaluation Contracts
Facility Information System

Source of Data:

RSA program data reports (plus computer tapes and printouts)
RSA program financial reports and data
Research reports (National Rehabilitation Information Center)
Reports by contractors (Office of Program Evaluation, RSA)

For further information about studies of program effectiveness,

Contact: Rodney Pelton
(202) 472-3014

Lawrence Mars
(202) 472-3796

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Client Assistance Program (CFDA No. 84.128)

Legislation:

Section 112 of the Rehabilitation Act of 1973, as amended

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
1974	$1,500,000	$ 500,000
1975	2,500,000	1,000,000
1976	2,500,000	1,000,000
1977	2,500,000	1,000,000
1978	2,500,000	1,000,000
1979	3,500,000	3,500,000
1980	3,500,000	3,500,000
1981	3,500,000	2,800,000
1982	3,500,000	942,000

Program Goals and Objectives:

These projects are to provide ombudsmen who can assist handicapped persons to understand available benefits under the Rehabilitation Act, and to help overcome any difficulties such persons may be having with the vocational rehabilitation service delivery system. Projects may be operated only by or through the State Vocational Rehabilitation agency. Advice and information (plus transportation if needed) are the only services provided by project staff. Projects assist in getting any other appropriate services through existing programs.

In addition to helping individuals, projects are expected to make recommendations for policy and method changes within VR agencies as appropriate, which may be helpful to other clients in the future.

Program Operations:

Recipients of services from Client Assistance projects must be (1) seeking VR services; (2) receiving VR services; (3) terminated from VR services and seeking help with some aspect of service. State VR agencies must retain administrative and financial responsibility for these projects but may subcontract aspects of day-to-day operations which are deemed to be advantageous for good management.

Program Scope:

The initial legislation called for pilot projects which are to be geographically disbursed across the country. The 1978 amendments to the Rehabilitation Act removed the statutory limitation on the number of programs and continued the requirement for geographic distribution. The number of projects began with 11 in 1974 and has increased to 42 currently in operation A project averages 200 clients served each year.

Program Effectiveness and Progress:

Individual project reports indicate that new projects frequently experience some administrative and professional resistance to ombudsman advocacy. This is overcome when the project staff demonstrates non-adversary principles and accomplishes problem resolution in relatively short periods of time.

Most projects employ "satisfaction" surveys of clients and VR counselors to ascertain their effectiveness. Non-standardized results indicate that projects are regarded favorably in areas of: (1) clarifying agency policy for client services; (2) clarifying client responsibility for participation in planning and carrying out their own service program; (3) resolution of formal grievances; (4) overcoming delay in getting services; (5) achieving more satisfying service outcomes and reduction of perifpheral interferences affecting VR goals; (6) modifying administrative policies which also may effect counselor effectiveness, and (7) improving VR agency image.

A national Data system for CAP has been developed which can be expected to provide information about the overall impact of these projects. To date, the relatively subjective evidence is that this ombudsman approach is useful and agencies are interested in perpetuating this method.

The number of States which desire to operate these projects rose from 20 to 36 in 1979 after the law was amended (Rehabilitation Amendments of 1978), permitting expansion following the pilot phase. Several projects have increased their coverage and outreach to become statewide and some States have continued projects without Federal funding. It is anticipated that virtually all States will eventually incorporate this concept into the basic service delivery system. In FY 82, 36 projects continued in 36 states.

Current Analytic Activities:

None

Sources of Evaluation Data:

RSA Budget document and the Annual Report to the President.

For further information on program operations or effectiveness,

Contact: Rodney Pelton
(202) 472-3014

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name: Rehabilitation Training (CFDA No. 84.129)

Expiration Date: September 30, 1983

Legislation:

Rehabilitation Act of 1973,
as amended; Section 304(a)
and Section 12(a) of the Act.

Funding History:

Year	Authorization	Appropriation
1966	1/	$ 24,800,000
1967	1/	29,700,000
1968	1/	31,700,000
1969	1/	31,700,000
1970	1/	27,700,000
1971	1/	27,700,000
1972	1/	27,700,000
1973	$50,000,000	27,700,000
1974	27,700,000	15,572,000
1975	27,700,000	22,200,000
1976	32,800,000	22,200,000
1977	25,000,000	30,500,000
1978	30,000,000	30,500,000
1979	34,000,000	30,500,000
1980	40,000,000	28,500,000
1981	45,000,000	21,675,000
1982	25,000,000	19,200,000

Program Goals and Objectives:

Rehabilitation training grants are authorized by Section 304(a) of the Rehabilitation Act of 1973, as amended, to ensure that skilled workers are are available to provide the broad scope of vocational services needed by severely handicapped people served by State and other vocational rehabilirehabilitation agencies and rehabilitation facilities.

Program Operations:

Grants may be made to and contract may be made with States and public or non-profit agencies and organizations, including institutions of higher education, to pay part of the cost of projects for training, traineeships and related activities.

1/ Such sums as may be necessary.

Program Scope:

Grants awarded under the rehabilitation training program include:

1. Long-term training[1] in the broad range of established rehabilitation professional fields identified in the Rehabilitation Act, including rehabilitation medicine, rehabilitation nursing, rehabilitation counseling, rehabilitation social work, rehabilitation psychiatry, rehabilitation psychology, physical therapy, occupational therapy, speech pathology and audiology, rehabilitation facility administration, prosthetics and orthopedics, therapuetic recreation, vocational recreation, vocational evaluation and work adjustment, rehabilitation job placement and job development, specialized training in providing services to the blind, the deaf and the mentally ill and training in other fields contributing to the rehabilitation of severely handicapped people;

2. Experimental or Innovative training projects which are designed either to train new types of rehabilitation manpower or to demonstrate innovative training techniques;

3. Short-term training workshops, seminars, institutes of other short courses in areas of special priority to the State/Federal vocational rehabilitation service program;

4. Continuing education programs to upgrade the skills of rehabilitation workers employed in both public and voluntary rehabilitation agencies, and

5. In-service training for State vocational rehabilitation agency personnel, in program areas essential to the effective management and operation of the State service program and in skill areas which will enable personnel to improve their ability to provide service to the severely handicapped.

---

[1] This category also includes Interpreters for the Deaf. Although authorized under the Rehabilitation Act of 1973, this program is not intended to focus only on the vocational rehabilitation needs of deaf persons but also to train interpreters who can assist deaf persons in health, education, employment, and other social services.

Programmatic and fiscal data are presented in the following tables.

Table A: FISCAL YEAR 1980

Categories	Amount Awarded	Number of Grants
Grand Total	$21,594,071	395
Long-Term Training	13,982,367	291
Continuing Education	2,943,477	15
Experimental Innovative	1,290,899	15
In-Service Training	3,377,328	74
Short-Term Training	0	0

TABLE B: PROGRAM/FISCAL DATA
FY 1979 - 1982

Category	FY 1979 (Thousand)	FY 1980 (Thousand)	FY 1981 (Thousand)	Estimated FY 1982 (Thousand)	Estimated Number of Projects	Estimated Number of Trainees
TRAINING IN ESTABLISHED REHABILITATION DISCIPLINES						
Rehabilitation Counseling	$ 5,862	$ 4,612	$ 4,435	$ 2,500	44	450
Rehabilitation Medicine	3,896	2,906	1,721	2,400	35	150
Rehabilitation Facility Administration	1,620	1,514	1,470	1,200	11	480
Prosthetics and Orthotics	1,048	1,322	302	1,300	7	180
Allied Health Professions	2,948	2,048	1,551	1,000		
Speech Pathology and Audiology					17	80
Occupational Therapy					5	25
Physical Therapy					6	35
Nursing					1	10
Social Work					1	10
Psychology					2	25
Therapeutic Recreation					2	25
Job Development and Placement	197	197	144	1,000	5	350
Vocational Evaluation	902	664	547	800	11	220
Experimental and Innovative	1,622	1,317	1,291	740	8	90
Blind	868	855	800	700	9	85
Deaf	1,026	687	656	500	7	80
Mentally Ill	189	179	179	200	1	30
Undergraduate Education	878	554	454	300	24	-
Other	1,206	990	825	800	7	160
Sub-Total	$22,262	$17,845	$14,375	$13,440	203	2,485
Interpreters for the Deaf	0	900	900	900	10	-
STAFF DEVELOPMENT & TRAINING FOR EMPLOYED REHABILITATION WORKERS						
Rehabilitation Continuing Education Programs	3,172	3,017	2,944	2,000	12	1,750
State In-Service Training	2,792	3,151	3,377	2,800	72	-
Short-Term Training	1,846	557	0	60	-	-
Research Fellowships	97	30	0	0	-	-
Sub-Total	$ 7,907	$ 6,755	$ 6,321	$ 4,860	297	4,235
GRAND TOTAL	$30,169	$25,500	$21,596	$19,200	297	4,235

Program Effectiveness and Progress:

In FY 1982 long-term training program emphasis continued to be placed on improving the quality of ongoing training projects in each professional field and ensuring that all projects reflected a direct and substantial focus on preparation or personnel for the provision of rehabilitation service to severely handicapped persons.

Training projects in the field of rehabilitation counseling not only continued to emphasize service to the most severely disabled individuals, but also focused on improving the preparation of counselors for assuming professional responsibility for the job placement of clients as well as developing skills in the areas of job analysis and job development. Training projects in such health related rehabilitation fields as physical therapy, occupational therapy, therapeutic recreation and speech pathology and audiology provided a special opportunity for student exposure to the State/Federal vocational rehabilitation program and the vocational rehabilitation process.

Special Innovative Training

A number of special innovative training projects were supported in 1980 demonstrating new approaches for training rehabilitation workers. Among these special innovative projects were the following:

-- A project at the University of Virginia for the training of rehabilitation engineering personnel;

-- A project at Boston University for the training of rehabilitation counselors in industry-based settings;

-- A project at 916 Vo-Tech Institute in Minnesota for the development of special training materials for prosthetists and orthotists;

-- A project at Memorial Hospital in Providence, Rhode Island for exposing family practitioners to the principles of rehabilitation medicine;

-- A project at the University of Guam for the training of rehabilitation counselors uniquely qualified to meet rehabilitation service needs in Guam and the Pacific Islands;

-- A project at the Navajo Community College to train Navajo persons to assume professional counselor responsibilities in serving handicapped American Indians; and

-- A group of interrelated training projects at Franklin Institute and the University of Washington for training dentists and dental support personnel skilled in providing dental services to severely handicapped persons.

State Vocational Rehabilitation Agency In-Service Training

Training supported under the State vocational rehabilitation agency in-service training grant program focuses primarily on program areas esential to each agency's immediate operation including training to correct deficiencies identified in audits and other studies of the State program. Seventy-eight grants were awarded to State agencies in 1980 and training emphasis was on such areas as: (1) the implementation of new State plan requirements under the 1978 Rehabilitation Act Amendments, (2) improved management in the areas of program planning, monitoring and evaluation; (3) improved use of preliminary and thorough diagnostic information in order to determine eligibility for services and the nature and scope of services to be provided; (4) improving the use of similar benefits; severely disabled individuals; and (6) improving State utilization of rehabilitation facilities.

Rehabilitation Continuing Education Programs

The Rehabilitation Continuing Education Programs train newly employed personnel in basic knowledge and skills and assist experienced personnel to upgrade skills and develop mastery of new developments in the field of rehabilitation. The Rehabilitation Continuing Education Programs also provide training for staff of private rehabilitation agencies and facilities. The training provided under this program focuses on meeting needs common to a multi-State geographical area. Training priorities in 1980 considered improvement in the use of rehabilitation facilities and expanding the use of Case Review system for improved administration, case documentation, and case service practice. Other priorities during 1980 were in areas such as program and financial management, advocacy, legal rights, utilization of special diagnostic processes, and increasing services to handicapped individuals from minority groups.

Current Analytic Activities:

None

Source of Data:

Data for information in this report has been, in part, compiled from the Trainee Appointment Statement Form RSA-II, used in the RSA Training Grant Program.

Further information about program or evaluation activities;

Contact: Harold F. Shay
(202) 245-0079

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Comprehensive Rehabilitation Centers

Legislation: **Expiration Date:**

Section 305 of the Rehabilitation Act of 1973, as amended

September 30, 1983

Funding History:	Year	Authorization	Appropriation
	1980		$ 2,000,000
	1981	Such sums as necessary	1,820,000
	1982	-0-	-0-

Program Goals and Objectives:

The purpose of this program is to establish a focal point within a community for coordination of the delivery of services to handicapped persons. A comprehensive rehabilitation center under this program may be a single facility providing direct services, a group of facilities in a community community coordinating its efforts to insure maximum availability of services and to prevent gaps in services, or a community facility which coordinates services or serves primarily as an information and referral resource but does not itself provide services to handicapped persons.

Since the concept of a comprehensive rehabilitation center is a flexible one, it may be a combination or variety of any of those facilities which the which the community determines will best enable handicapped persons to receive needed services from all the resources available. In addition to serving as a primary information and referral resources, the center may may either provide services directly or it may enable handicapped persons receive a broad range of services as interpreters for the deaf, readers for the blind and legal assistance, from other service providers. Technical assistance to community agencies and facilities concerning Section 504 of the Rehabilitation Act should also be made available through the Comprehensive Rehabilitation Center.

Program Operations:

Only State vocational rehabilitation units may apply for these grants. A State vocational unit which has been awarded a grant under this program may apply for these grants. A State vocational unit which has been awarded a grant under this program may award a subgrant to a unit of general purpose local government or to any other public or nonprofit private agency or organization or enter into a contract with other agencies or organizations in the community.

Rehabilitation Services Administration (RSA) is responsible for the administration of this program. Applications are initially submitted by State Divisions of Vocational Rehabilitation and subjected to a peer review process which recommends approval of the most appropriate projects.

Since only a limited number were available in FY 81, ten (10) awards were distributed nationwide, one project in each region. Awarded in FY 81 were one to Regions I, II, IV, V, VI, VII, VIII and two Region III. None were awarded in Region X because no applications were submitted.

All participating State Divisions of Vocational Rehabilitation submit a progress report expenditure report at the end of the year as part of their continuation application.

Program Scope:

In FY 81 (for operation in FY 82), $1.82 million was allocated to 10 projects located in the States of Arkansas, California, Florida, Iowa, New Jersey, Pennsylvania, Rhode Island, Utah, Virginia and Wisconsin. More than 10,000 handicapped clients have benefitted, with individual projects expanding into developing such services as dental, health, and placement for this population. No new projects were funded in FY 82.

Program Effectiveness and Progress:

Early indications are that the most severely handicapped and those who have not been previously served are now being brought into the system. For example, the Los Angeles project is developing a referral system for the specialized medial and dental needs of the severely handicapped population as most physicians and dentists do not have the capability to service this group.

Current Analytic Activities:

None

Sources of Evaluation Data:

Rehabilitation Services Administration

For further information on program operation or effectiveness,

Contact: Rodney Pelton
(202) ~~245-0249~~ 472-3014

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Severely Handicapped Individuals (CFDA No. 84.128)

Legislation:

Title III, Section 311(a)(1) of the Rehabilitation Act of 1973, as amended

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
1974	1/	$ 1,000,000
1975		1,295,000
1976		2,700,000
1977		4,099,000
1978		7,048,000
1979		7,048,000
1980		9,568,000 2/
1981		9,765,000
1982	3/	8,855,000

Program Goals and Objectives:

The purpose of this program is to support demonstration projects which expand or improve the delivery of rehabilitation services to severely disabled individuals to assist them in achieving satisfactory vocational adjustment. Projects serve those with general disabilities as well as those with specific disabilities; such as mental retardation, mental illness, multiple sclerosis, spinal cord injury, etc.

Program Operations:

This is a discretionary program in which public or private nonprofit agencies and organizations are eligible to compete for grant awards. Decisions among proposals submitted by applicants for these funds are determined through a peer review process which bases its judgments upon relevant criteria published in the Federal Register. Project monitoring by Federal staff assesses adherence to originally funded project/program objectives. Information about the project(s) is disseminated by the project and the Rehabilitation Services Administration.

1/ Such funds as may be necessary, 1974 to 1981.

2/ $12,500 reprogammed to the National Council on the Handicapped.

3/ Authorization of $12,210,000 to be shared by Sections 310, 311, 312, 314, and 315.

Program Scope:

Project activities are aimed at meeting unique needs of distinct disability groups in utilizing rehabilitation services or in meeting needs common to all severely disabled persons. Coordination of existing services to more effectively reach this target group, as well as outreach and support activities to those who are not eligible or not yet receiving rehabilitation services, are elements in these projects.

During the first three years (FY 74-76) that this grant program was in operation, projects served persons who were blind-deaf, or spinal cord injured. In subsequent years, projects initiated services to the broad range of categories of severely disabled, including subcategories such as severely disabled Hispanics. The table below gives details of funding, numbers served, and disability areas covered during FY 1981.

	FY 1981		
Disability	(000) Funding	(000's) Projects	Served
Arthritis	$ 280	2	50
Blindness	370	4	375
Cerebral Palsy	280	3	100
Deafness	240	3	150
Epilepsy	390	3	150
Heart Disease	125	1	25
Mental Illness	660	6	250
Mental Retardation	390	3	100
Multiple Sclerosis	400	3	150
Spinal Cord Injury	5,500	17	1,350
General	1,945	17	1,300
TOTAL	$10,580	62	4,050

Program Effectiveness and Progress:

No formal evaluation, apart from required annual project progress reports and final reports upon project termination, has been made of the overall program effectiveness. However, it is possible to make the following general statements:

- The program has expanded from demonstrations which served blind, deaf, and spinal cord injured persons to demonstrations for a wide array of disabilities and for the severely disabled in general.
- Interventions demonstrated by the projects have resulted in reports of substantial numbers of severely disabled persons, in all categories, becoming eligible for and benefiting from vocational rehabilitation services.

- Frequently successful project methods and techniques are incorporated into State vocational rehabilitation agency programs sustained with non-Federal dollars and used in part or whole throughout a State.
- Demonstrations with 42 severely disabled elderly blind persons in Virginia provided services to those persons in the community for $186,069, a cost savings of $131,709 over the total cost of a nursing home.
- Seventeen model spinal cord systems have been initiated throughout the country resulting in more effective services by State vocational rehabilitation agencies, private rehabilitation facilities and medical institutions. A national coordinating center for retrieval and analysis of standardized data has been established as part of the model system in Phoenix, Arizona, at Good Samaritan Hospital.

Current Analytic Activities:

A contract to the Berkeley Planning Associates, Berkeley, California, awarded in 1979, is expected to develop a system for evaluating RSA discretionary projects and programs. The proposed design calls for established standards for project planning, for project reporting, and for outcome evaluations.

Source of Evaluation Data:

Rehabilitation Services Administration

For further information on program operation and effectiveness,

Contact: Rodney Pelton
(202) 245-0249

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Projects and Demonstrations for Making Recreational Activities Accessible to Handicapped Individuals (CFDA NO. 84.128)

Legislation:	**Expiration Date:**
Section 311 (a) (3) of the Rehabilitation Act of 1973, as amended.	September 30, 1983

Funding History:	Year	Authorization	Appropriation
	1981	Such sums as necessary	$ 2,000,000
	1982	1/	1,884,000

Program Goals and Objectives:

This program provides financial assistance for the support of special projects and demonstrations, and related research and evaluation, concerned with operating programs to demonstrate methods of making recreation activities fully accessible to handicapped individuals, including the renovation and construction of facilities, where appropriate. To the greatest extent possible, existing facilities for the provision of recreation activities are expected to be utilized so that the need for the renovation or construction of facilities can be avoided. Activities carried out under this program must focus on as broad a range of recreation activities as is appropriate to the geographical area, including indoor and outdoor recreation activities; competitive, active, and quiet recreation activities; social activities; and recreation activities related to the fine arts. These activities may include but are not limited to arts, camping, dance, drama, fitness, 4-H, scouting, sports, swimming, travel, and other related recreation activities. These projects must demonstrate innovative ways in which recreational activities can be made fully accessible to handicapped individuals, with special emphasis on those who are the most severely handicapped.

State and public and other nonprofit agencies and organizations are eligible for grants under this authority.

Program Operations:

Federal funds under this program will be advance funded, that is, appropriated in one fiscal year for obligation and expenditure in the succeeding fiscal year.

1/ Authorization of $12,210,000 to be shared by Sections 310, 311, 312, 314, and 315.

Program Scope:

In FY 82, eight projects were in operation, representing a broad range of indoor/outdoor winter and summer activities.

Program Effectiveness and Progress:

No information on program effectiveness, service delivery, etc., is available.

Current Analytic Activities:

None

Source of Evaluation Data:

None

For further information on program operations and effectiveness,

Contact: Rodney Pelton
(202) 245-0249

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Projects for Handicapped Migratory and Seasonal Farmworkers (CFDA No. 84.128)

Legislation:

Section 312 of the Rehabilitation Act of 1973,

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization 1/	Appropriation
1974	$ 735,000	$ 735,000
1975	735,000	735,000
1976	820,000	820,000
1977	530,000	530,000
1978	1,530,000	1,530,000
1979	1,530,000	1,530,000
1980	1,530,000	1,530,000
1981	1,530,000	1,325,000
1982	2/	942,000

Program Goals and Objectives:

This program is designed to provide vocational rehabilitation services to handicapped migratory agricultural and seasonal farmworkers, and to members of their families who are with them, whether or not handicapped, when such services contribute to the rehabilitation of the agricultural workers. The goal of these demonstration projects is to provide vocational rehabilitation services to migratory workers which will enable them to acquire new work skills and thereby become qualified to obtain employment in other areas, or "settle out" (obtain permanent employment) and leave the migrant stream; or to provide treatment necessary for the client to continue as a migratory or seasonal farmworker.

1/ The authorization ceiling is $5,000,000 for each fiscal year; 5% of the amount appropriated for Part B, Title III projects is earmarked by statute for Section 312 projects.

2/ Authorization of $12,210,000 to be shared by Sections 310, 311, 312, 314, and 315.

Regional Offices monitor projects and site visits are made to projects by Central Office Project Officers and Regional Office representatives. The State agency also monitors projects in accordance with their monitoring systems.

Clients receiving services must be handicapped migratory or seasonal farmworkers.

Program Scope:

State rehabilitation agencies are grantees for these projects. In FY 81, the appropriation for this program was $1,530,000. In FY 82 this amount supported 11 projects located in 11 States; when programs started in 1974 only 7 projects were established. Funds are awarded on a 90% Federal 10% State matching basis. Maintenance payments are consistent with payments made to other handicapped individuals in the State under the Rehabilitation Act. The FY 82 appropriation ($942,000 will support nine projects.

Around 1,500 persons are being served. Mexican American workers compose the majority of the target population served by the projects.

The program cooperates with the Department of Labor and the Public Health Service.

Through these special projects, comprehensive vocational rehabilitation services are made available. These services include a heavy emphasis on outreach, specialized bilingual counseling, physical/mental restoration, prevocational adjustment, vocational training, and job placement. Because of the high mobility rate of the clients and their remote rural employment, it is not always possible to complete the entire rehabilitation process, or provide VR services in the traditional manner.

Program Effectiveness and Progress:

1. State agencies have absorbed and incorporated some projects into their ongoing operations.

2. A "tracking system" was established May 1981 through a cooperative arrangement with the Migrant Student Record Transfer System. This enables VR services to be continued as clients move from job to job.

3. Projects have been successful in developing innovative methods and techniques to assist this target population. Clients have been treated for disabilities of long duration earmarked by statute for Section 312 projects.

4. Annual conference enables Project Directors to consider and develop effective methods to improve project operations.

Current Analytic Activities:

None

Source of Evaluation Data:

Rehabilitation Service Administration

For further information about program operations,

Contact: Roberta Church
(202) 245-0890

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Helen Keller National Center for Deaf-Blind Youths and Adults
(CFDA No. 84.128)

Legislation:

Section 313 of the Rehabilitation Act of 1973, as amended

Expiration Date:

September 30, 1983

Funding History:	Year	Authorization	Appropriation
	1969	$ 1/	$ 600,000
	1970		570,000
	1971		3,100,000 2/
	1972		600,000
	1973	5,600,000	5,600,000 3/
	1974	600,000	600,000
	1975	2,000,000	2,000,000
	1976	2,100,000	2,100,000
	1977	2,100,000	2,100,000
	1978	2,500,000	2,500,000
	1979	2,500,000	2,500,000
	1980	2,500,000	2,500,000
	1981	3,500,000	3,200,000
	1982	3,500,000	3,137,000

Program Goals and Objectives:

The Helen Keller National Center (HKNC) was created by Congress and charged with three major responsibilities: (1) provision of comprehensive services to the most severely disabled and disadvantaged deaf-blind youths and adults in the nation; (2) train personnel to work with deaf-blind persons and their families; and (3) conduct research to develop training techniques, innovative social services and special aids and devices.

Program Operations:

Section 313 of the Rehabilitation Act authorizes an agreement with any public or nonprofit agency or organization for establishing and operating, including construction and equipment, a center for vocational rehabilitation of handicapped individuals who are both deaf and blind. That center is known

---

1/ Congress did not authorize specific funding for HKNC operations until FY 1973.

2/ FY 1971 $600,000 for operations; $2,500,000 construction funds.

3/ FY 1973 $600,000 for operations; $5,000,000 construction funds.

as the Helen Keller National Center for Deaf-Blind Youths and Adults. The Center has one main facility at Sands Point, New York, where deaf-blind individuals are referred from all 50 states through HKNCs network of nine regional offices.

Program Scope:

The Center serves 50 trainees at its main facility and provides referral and counseling to another 870 deaf-blind persons through its regional offices. The Helen Keller National Center is the only center of its kind in this country that provides comprehensive rehabilitation services to deaf-blind individuals. As a result of the training received at the National center, trainees were placed in professional employment, sheltered workshops, returned to school and a few are currently awaiting employment.

The Center's research program continues to concentrate on the development and testing of aids and appliances which will enable deaf-blind persons to lead improved social and economic lives. The program is also intensely involved in initiating new research and demonstration efforts necessary to extend and expand services to people who are deaf-blind. An example of the result of research is Telebraille, a system designed at the Center for transmitting braille. The first transmission was made between Chicago, Illinois and the Helen Keller National Center. The research program at the National Center is currently in the process of modifying the system as a result of the input of deaf/blind people.

Current Analytic Activities:

A joint effort between RSA and the Office of Special Education is underway to evaluate the needs and availability of services to deaf-blind individuals.

Source of Evaluation Data:

Rehabilitation Services Administration

For further information about program operation and effectiveness,

Contact: Rodney Pelton
(202) 472-3014

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Projects With Industry (CFDA No. 84.128B)

Legislation:

Section 621 of the
Rehabilitation Act
of 1973, as amended

Expiration Date:

September 20, 1983

Funding History:	Year	Authorization	Appropriation
	1970	1/	$ 900,000
	1971		2,000,000
	1972		1,000,000
	1973		1,000,000
	1974		1,000,000
	1975		1,000,000
	1976		1,000,000
	1977		3,619,000
	1978		4,500,000
	1979		4,500,000
	1980		5,500,000
	1981		5,250,000
	1982	$ 8,000,000	7,510,000

Program Goals and Objectives:

Projects with Industry (PWI) provide handicapped individuals with training, employment, supportive services, and assistance within business, industry, or other realistic work settings in order to prepare them for competitive employment and to permit them to secure and maintain employment.

The projects with Industry program is focused on the establishment of a partnership arrangement between the rehabilitation community and the private sector in order to expand vocational training and job opportunities for handicapped people. A major objective of the program is to enlist the support of business, industry, and organized labor and utilize their management, leadership and technical expertise.

It is a major private business initiative involving corporations, labor organizations, trade associations, foundations, and voluntary agencies which operate through a partnership arrangment with the rehabilitation community

---

1/ Such sums as may be necessary.

Program Operations:

This program utilizes a cooperative financial arrangement to link RSA and private employers as well as other entities, both profit-making and non-profit, in a partnership effort to facilitate the training and placement of handicapped people in the private competitive marketplace.

New applications are subject to the RSA peer review process. It is a discretionary program operated at the national level.

Program Scope:

The PWI program is a national network in which private business and industry, labor unions, rehabilitation facilities, and trade associations work together with State VR agencies to train handicapped people for employment in the private competitive marketplace.
The program is national in scope with projects strategically located in areas providing realistic opportunities for jobs. The more than 50 projects affiliated with major corporations and unions serve the blind, the deaf, mentally retarded, and physically disabled individuals.

The projects averaged $100,000 in Federal funds with additional resources being contributed by the private sector in both funds and manpower.

Placement costs to the Federal Government average $1000 per handicapped person, not including other resources contributed by State VR agencies and the private sector.

Program Effectiveness and Progress:

Since the inception of the PWI program in the 1968 Amendments to the VR Act, nearly 50,000 handicapped individuals have gained jobs in private competitive employment.

- In 1980, more than 5,500 people obtained permanent employment through this program, acquiring jobs ranging from entry level occupations to skilled and highly technical as well as managerial.
- Computed on a full-year basis, these 5,500 individuals will earn a minimum of $35 million during FY 1981.
- PWI clients trained and placed under the direction of the Electronic Industries Foundation earn an average of $10,739 per year.
- PWI clients trained and placed in all projects earn salaries beginning with $7,000 to $30,000 depending upon their level of training and specialized skills.

- PWI clients trained and placed under the PWI project conducted by AFL/CIO (Human Resources Division) earn an average of $12,150 per year; the range of $6,864 to $29,120. Examples of jobs are craftsmen, machinists, etc.

- Private business and industry contribute not only the mandated 20 percent matching rate requirement but more importantly provide executive management direction and other important administrative and professional services.

- PWI projects are evaluated and funded in general by measuring productivity and cost/effectiveness factors (e.g., the product is the placement of the client in a job and the cost of the placement is determined by dividing the number of placements into the total amount of the Federal grant (100 placements for $100,000 equals $1,000 per placement).

Current Analytic Activities:

None

Source of Evaluation Data:

Rehabilitation Services Administration

For further information on program operation or effectiveness

Contact: Thomas Fleming
(202) 245-3189

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Centers for Independent Living (CFDA No. 84.132)

Legislation:

Title VII, Part B, Section 711
of the Rehabilitation Act of
1973, as amended

Expiration Date:

September 30, 1983

Funding History:	Year	Authorization	Appropriation
	1979	$ 80,000,000 1/	$ 2,000,000
	1980	150,000,000	15,000,000
	1981	200,000,000	18,000,000
	1982	19,400,000 2/	17,280,000

Program Goals and Objectives:

This program provides discretionary grants to establish and operate Centers for Independent Living, which are described as facilities offering a combination of rehabilitation services in order that severely handicapped individuals may live more independently in family and community settings, or secure, and maintain employment. A key feature of the program is the substantial involvement of handicapped individuals in policy direction and management of established Centers.

Program Operation:

The principal eligible applicant for grants under this program is the designated State Unit which administers the Title I Vocational Rehabilitation Program (or units in States having one agency serving blind individuals and one serving all other handicapped individuals). However, should the designated State unit(s) not apply in any fiscal year within six months after the date which applications are accepted, applications may then be accepted from local public or private nonprofit agencies.

1/ Authorization, 1979 to 1981, covers all of Title VII.

2/ Authorization for Part B only.

Services are keyed to meeting the needs of the severely disabled to live more independently in family and community. The Act establishes priority for service to individuals not receiving services under other sections of the Rehabilitation Act. The grants average $250,000 each; each local program extends the range of services available for severely disabled persons through case and program advocacy at the local level.

Program Scope:

In Fiscal Year 1981, the second year of operation of this program, awards have been made to 59 grantees, for operation in FY 82. Seven of these were grants to local organizations; the remainder to 38 general agencies; 10 blind agencies; and four in response to joint applications submitted by the general and blind agencies in those States. Forty-one of the State units have chosen to contract with one or more local private nonprofit organizations so that 122 sites receive support in whole or in part through this program.

Continuation applications show that most projects have developed a set of services specified in the enabling legislation. Some of the local sites focus on a single disability, e.g., mental retardation, mobility impaired, or physically disabled; however, most are attempting to make available the services that are in place to a wide variety of disabling conditions.

There is not at this time any prescribed reporting format or requirement that data be collected and reported in terms of disabilities served, services provided, and other such characteristics. Nonetheless, most projects are developing, or have in place, data collection systems responsive to their own needs.

Program Effectiveness and Progress:

There is no system in place to evaluate the effectiveness of this program on a national basis. However, most projects have in place, or are developing systems to evaluate their own operations both in terms of management effectiveness, and benefit to severely disabled persons who receive services.

Current Analytic Activities:

An Evaluability Assessment of this program was completed by the American Institute for Research under contract to the Department of Education. This Evaluability Assessment concluded that there exists substantial agreement by policy makers and program operators in the goals of the programs. They found that all programs were operational, even those funded only a short-time. Staff were predominately disabled in most Centers. Consumers were involved in management and policy development. The Centers have initiated direct services to clients, referrals of clients to other agencies, and are working to influence the community. They note that Centers could typically provide evaluative/operational data on staff size and responsibility; disabled staff and their roles; sources of funding other than Part B; number served, their disabilities, services, demographics, service plans and indications of plan achievement; contacts with other resources including efforts to secure further funding; and many can supply detailed information about client needs, resources independence status (e.g., living arrangements), and gains. The Evaluability Assessment notes further efforts most needed include systematic,

consistent national data collection; systematic sharing of information/methods/materials; streamlined policy making procedures; and help for new Centers in business and personnel management.

The Management Information System (MIS) being developed by the Rehabilitation Services Administration for all its programs includes functional assessment indicators and status indicators which should be of use in the evalualuation of the impact of Independent Living services in assisting severely disabled persons to live more independently.

This MIS is currently undergoing preliminary field testing.

Sources of Evaluation Data:

No national data are collected on a uniform basis at this time. Narrative reports, supported in most cases by tabular data, are contained in continuation applications submitted for year three (10) grantees and year two (49) grantees.

For further information about program operations and program effectiveness,

Contact: William J. Bean
(202) 245-0890

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Institute of Handicapped Research (CFDA No. 84.133)

Legislation:

Title II of the Rehabilitation Act of 1973, as amended

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
1963	$ 1/	$ 12,200,000
1964		17,780,000
1965		20,443,000
1966		28,345,000
1967		30,625,000
1968		32,213,000
1969		31,700,000
1970		29,764,000
1971		31,635,000
1972		31,696,000
1973		19,846,000
1974	25,000,000	20,096,000
1975	25,000,000	20,000,000
1976	32,000,000	24,000,000
1977	30,000,000	29,000,000
1978	30,000,000	31,500,000
1979	50,000,000	31,500,000
1980	75,000,000	31,487,500 2/
1981	90,000,000	29,750,000
1982	35,000,000	28,560,000 3/

Program Goals and Objectives:

The overall goal is to provide a comprehensive, coordinated approach to the conduct of research, demonstrations, and related activities on behalf of handicapped persons, in accordance with a plan for rehabilitation research developed under this Act. Research, demonstrations, and related activities are conducted by making grants and awarding contracts to develop knowledge that will improve rehabilitation services to handicapped persons.

The Institute also:

o Disseminates all the R&D information thus developed on rehabilitation procedures, methods, and devices designed to help handicapped persons live more independently.

1/ No established authorization 1963 to 1973.

2/ A transfer of $12,500 was made to the National Council on the Handicapped.

3/ Transfers to: SEP ($100,000), ICA ($199,838), OPM (30,000), OIRH ($8,790) and RSA ($46,500). Transfers from: NIMH ($18,200) and PCEH ($2,000)

- Develops and improves technological devices and equipment and distributes and otherwise makes these devices available to handicapped persons.

- Coordinates, through the Interagency Committee on Handicapped Research established by Section 203 of the Act, all Federal programs and policies relating to research in rehabilitation; and in doing this, works with and under the guidance of the National Council on the Handicapped, established by Title IV of the Act.

- Produces, in conjunction with other Federal agencies and Departments, statistical reports and data on the employment, health, income, and other demographic characteristics of handicapped persons; disseminates such information to rehabilitation professionals and other relevant persons; and uses this information to help plan and evaluate all rehabilitation research and services.

- Develops and submits to Congress and the President a Long-Range Plan that will identify research needing to be done, funding priorities for it, and timetables for doing the research.

Program Operations:

Research may be conducted on all major disabilities and all aspects of rehabilitating disabled persons. These research activities are conducted in part in "Center" programs, each with a broad core area of investigation. These programs include Research and Training Centers (26), Rehabilitation Engineering Centers (17) and Rehabilitation Research Institutes (RRIs)(1). In addition, there are individual grant award projects, each of which works on a narrower, more specific problem in research or dissemination. There is also a special program of international research supported by P.L. 83-480 funds.

In all projects and programs, the dissemination and use of the R&D products are emphasized. This emphasis prevails throughout all activities, and is also formalized in a research utilization component, which stresses dissemination, information services, and investigations into the processes of change and innovation, and how to facilitate them, so that new findings can be adopted into ongoing service programs. Information on what is going on at the project level reaches the field through special dissemination efforts such as *Rehab Briefs*, general information services provided by NIHR's National Rehabilitation Information Center, and by lists of active projects compiled by NIHR.

NIHR operates through a discretionary grant program, although some contracts are also funded. Eligibility requirements vary somewhat for NIHR's different program authorities (Research and Training Centers (RTC), Research Engineering Centers (REC), Research Utilization (RU), and Research and Demonstration Projects), but grantees generally are universities, hospitals, public and private rehabilitation agencies, and profit and nonprofit research organizations. Applications are referred to peer review panels constituted for each topical area or priority in which proposals are solicited. NIHR maintains a register of qualified peer reviewers and has made special efforts to assure that qualified handicapped and minority individuals are in the registry. Funding ranges from one to five years, with most Centers being funded for the 60-month time period. Once project grants are funded, and contract awards made, they are monitored by NIHR project officers.

Program Scope:

The total NIHR research appropriation for FY 81 (and used in FY 82) was $29.75 million. Of this, approximately $29 million was committed to on-going projects: $15,705 million was devoted to the Research and Training Centers (RTC) Program, $3.92 million to individual R&D grant awards (including RRIs), $8,029 to Rehabilitation Engineering Centers (REC) and $1.502 million to Research Utilization Projects.

The NIHR research appropriation for FY 1982 was $28.56 million. Of this, approximately $15.6 million was devoted to the RTC program; $8.1 million to the REC program; and $2.0 million to discrete grants and contracts for research and $2.0 million for research utilization.

Research and Training Centers Program:

Eleven Medical RTCs are funded at a total level of about $10 million. Their work covers many medical areas, such as cardiopulmonary disease, spinal cord injury, health care delivery, special problems of the severely impaired, independent living, biofeedback, and neuromuscular dysfunctions.

There are in addition, four vocational RTCs (2.6 million), one on deafness ($3.3 million, three on psychosocial research ($1.5 million), two on mental illness ($510,000), two on aging ($450,000), one on Independent living ($295,000), one on blind ($290,000).

All of these RTC awards go to major universities. Most are affiliated with service programs and are geographically dispersed. RTCs are structured to include a consumer input component which explores a broad "core area" of problems. In each one, research, training, and services are mutually supportive. They are also able to attract outside resources to further their efforts, and they emphasize dissemination and use of R&D results obtained.

Rehabilitation Engineering Center Program:

There are 17 RECs designed to produce new scientific knowledge, equipment and devices for handicapped persons. They specialize in such areas as sensory aids for the blind and deaf, total joint replacement, mobility systems for severely impaired persons, electrical stimulation of paralyzed nerves and muscles, architectural barriers, and spinal cord injury. These awards generally go either to hospitals, universities, or foundations, etc., that have close working relationships with universities. Many RECs include an advisory component, and all develop manpower and training programs through which the devices can be safely introduced into service programs.

Individual R&D Grant Awards:

Approximately $2 million was obligated through individual grant awards, including one RRI. The latter (total funding approximately $500,000) has a core area job development and placement, for severely handicapped persons. The remaining individual grant awards are for research in the broad areas of psychological and medical problems, sensory disabilities, spinal cord injury, severe burns, end-stage renal disease, head trauma, and other specific problems. In addition, about $2 million is devoted to research utilization projects, which mainly offer coordinated dissemination and information services, promote innovations in service programs based on R&D results, and instill an awareness of change processes.

In administering this total program, NIHR pays careful attention to the research needs of handicapped persons, and uses these data to prioritize the projects funded. In developing its Long-Range Plan, NIHR received input on need from 4,000 organizations, rehabilitation facilities, and individuals with known expertise in rehabilitation, and used this data to set and prioritize R&D goals. A participatory planning conference was also convened. Particular attention was paid to the opinions of handicapped persons themselves, to the organizations that represent them, and to the mandates set fourth in legislation. Knowledge of research already done, and results obtained, also served to identify knowledge gaps needing to be filled. Certain projects contain built-in evaluation plans which gather information on research needs in the rehabilitation field. Regional Offices were also consulted in this effort to identify research needs as a guide to planning and prioritizing research to be funded.

In FY 1982 NIHR proposed research priorities for both FY 1982 and FY 1983 for public comment. Several thousand responses were received, responses were tablulated, and revisions were made to the priority statements in most cases. NIHR is planning a major participatory planning activity, working jointly with other OSERS components in preparation for the revised Long-Range Plan in 1984.

Program Effectiveness and Progress:

During FY 81, NIHR met the following mandates set forth in its legislation:

- It formulated a comprehensive Long-Range Plan that is not only a guide for future activities, but also a source of information on research needs in rehabilitation.
- It convened the Interagency Committee on Handicapped Research, bringing in all relevant agencies, the mission being to identify, assess, and coordinate all Federal programs and activities dealing with rehabilitation research. Accomplishments included (1) development of an informal interagency research information exchange system as a basic preliminary to significant cooperation; (2) formation of subcommittees grouped by areas of expertise; (3) sharing interagency resources to evaluate assistive devices and equipment; (4) joint funding of a few mutually beneficial research activities; and (5) a preliminary survey to determine the extent and type of rehabilitation research activities carried out by these various agencies.

Evaluations of the major component programs of NIHR have been completed. First, the total Research and Training Center program was evaluated. Major findings are as follows:

- o The RTC program has a sound conceptual base, the synergistic interaction of research, training, and client services being especially effective.
- o The program is exceptionally active, with some 300 individual studies underway at any given time, and 600 training programs serving 60,000 participants conducted annually.
- o The RTC Program is an effective resource magnet; that is, it was able to attract an additional 75 cents from other sources for every dollar NIHR awarded to the Centers.
- o The RTC Program has supplied many noteworthy innovations to the field of rehabilitation.

Secondly, the Rehabilitation Engineering Center program has been evaluated. An important finding was that the program has been very successful in defining "Rehabilitation Engineering" as a field, stimulating RE university programs, and attracting graduate students. A number of suggestions for improvement were made, including need for closer work with industry to develop and market assistive devices; closer liaison with other sectors of the rehabilitation service community; expanded technical assistance at the Federal level; clarification of goals (i.e., research vis-a-vis develop/market/utilization); more systematic information on devices, etc., that are available; and possible development of a systematic capacity for development, evaluation, and distribution of assistive devices by working with industry.

Although these recommendations are in their totality quite demanding, some have been implemented. For example, ABLEDATA now offers good information on available devices; and three Rehabilitation Demonstration Units or Labs have been set up, where clients may come to see, try out, and learn more about available assistive devices. Further, in response to the need for close liaison with the rehabilitation community, a manual on rehabilitation engineering for rehabilitation counselors has been prepared. In response to other suggestions made by the evaluation study, the REC program is (1) developing a plan to work more closely with industry in developing and marketing devices to aid handicapped persons; and (2) through the Interagency Committee, is working more closely than before with other Federal agencies on this same matter;

Fourth, NIHR's whole Research Utilization effort was comprehensively evaluated, and a number of significant recommendations made:

(1) A Division (or other substantial program unit) of rehabilitation knowledge dissemination and utilization should be established in NIHR, with a stature and responsibility commensurate with the size of the total NIHR R&D program and the importance of utilizing obtained R&D results.

(2) A Rehabilitation Diffusion Network, modeled after the Department of Education's National Diffusion Network, should be developed, its purpose being to identify field-generated innovations in service practices, test their worth, then diffuse them more widely This model has proved very sound and cost-effective in promoting educational inncvations. Applications are currently sought to fund such a project in FY 83.

(3) Identify and fund reports in areas needing state-of-the-art assessment. Each report would include new clinical practices not yet written up in the literature (hence, would be completely up-to-date), and a reasonable consensus among chosen experts as to what is in fact known and usable, and what is not. This feature of involving prestigious professionals, and publishing the state-of-the-art in a respected journal, would strongly promote ulization. NIHR has let contracts for five studies in the state-of-the-art in selected areas.

(4) Develop a system to inform disabled persons themselves about progress in research affecting them, and innovative assistive devices of use to them. The ABLEDATA system was implemented in FY 82 to provide this information.

(5) Develop an automated data base (storage, retrieval, and related information services) or publish an ongoing rehabilitation research and knowledge document, to serve researchers, R&D program managers, service providers, and handicapped persons themselves.

(6) Establish a related data base on the demographics of disability, to reveal the dimensions of need to researchers, planners, and service providers; and to show also significant trends needing attention. In FY 82, as a result of the report from a planning grant, NIHR is contracting art to implement this activity. The agency has worked closely with the Demographics Subcommittee of the Interagency Committee on the Handicapped to establish the data base. In addition, NIHR is developing an automated data collection system to assist in an evaluation of the agency and its total program.

Current Analytic Activities:

None.

Sources of Evaluation Data:

NIHR L[illegible] Range Plan, Vol. 1, 1980

"Research & Training Centers - Overview" (1980) (Special Centers Office -- In-house document)

"Annual Report of the Rehabilitation Services Administration to the President and the Congress on Federal Activities Related to the Administration of the Rehabilitation Act of 1973" (1980) (ch. on NIHR, pp. 44-64)

"Rehabilitation Engineering Center Program Evaluation: Final Report (Berkeley Planning Associates, Berkeley, California)

"Goals and the Goal-Setting Processes in the Research and Training Program" (Abt Associates, Cambridge, Massachusetts)

"Final Report on An Evaluation of Two RSA (NIHR) Research Utilization Laboratories" (National Institute for Advanced Studies, Washington, D.C.) 1980.

"NIHR Research Priorities Plan: Issues and Recommendations for knowledge Dissemination and Utilization" (ICD) Rehabilitation and Research Center, New York, N.Y.) 1980.

For further information about program operations,

Contact: Richard R. Leclair
(202) 245-0565

For further information about studies of program effectiveness,

Contact: Betty Jo Berland
(202) 472-6551

or

Eugene Tucker
(202) 245-8877

OFFICE OF VOCATIONAL AND ADULT EDUCATION

Annual Evaluation Report on Education Programs

Program Name:

Vocational Education - State Grants and Innovative Programs
(CFDA Nos. 84.048, 84.050)

Legislation:	**Expiration Date:**
Vocational Education Act of 1963, as amended by P.L. 94-482, Part A, subparts 2 and 3	September 30, 1984

Funding History:

Year	Authorization	Appropriation [1]
1970	$ 503,500,000	$ 300,336,000
1971	602,500,000	315,302,000
1972	602,500,000	376,682,000
1973	504,000,000	376,682,000
1974	504,000,000	405,347,000
1975	504,000,000	420,978,000
1976	504,000,000	415,529,100
1977	450,000,000	441,382,275
1978	880,000,000	537,833,000 [2]
1979	1,030,000,000	587,083,000
1980	1,180,000,000	687,083,000
1981	1,325,000,000	611,462,000
1982	1,485,000,000	586,870,000

Program Goals and Objectives:

This legislation assists States to improve planning in the use of all resources available to them for vocational education programs. It authorizes Federal grants to States for the following purposes: (1) to extend, improve, and, where necessary, maintain existing programs of vocational education; (2) to develop new programs of vocational education; (3) to develop and administer vocational programs so as to eliminate sex discrimination and sex stereotyping and furnish equal education opportunity in vocational education to persons of both sexes; and (4) to provide part-time employment for youths who need the earnings to continue their vocational training on a full-time basis.

---

[1] This does not include the permanent authorization of $7.1 million apportioned to the States each year under the Smith-Hughes Act.

[2] Includes basic grants and budget for program improvement and supportive services, under P.L. 94-482.

Grants to the States may be used in accordance with five-year State plans and annual or three-year plans for a variety of purposes cited under Subparts Two, Three, Four, and Five. Work study and cooperative education programs, two former categorial programs, were consolidated with the basic grant program by Public Law 94-482.

Under Subpart Three, program improvement grants assist States in upgrading and expanding their vocational programs and providing supportive services. Funding categories include: research programs; exemplary and innovative programs; curriculum development; guidance and counseling services; pre-and in-service training; grants to overcome sex bias; and costs of supervision and administration of vocational education programs.

Vocational funds are appropriated on an advance basis to enable States and local school officials to plan efficiently.

The Administration has proposed legislation to consolidate all vocational and adult education programs in a simplified block grant by fiscal year 1984. This will enable States and local education agencies to use funds according to their individual needs and increase operating efficiency at all levels.

Program Operation:

Formula grants assist States in conducting vocational education programs for persons of all ages to assure access to vocational training programs of high quality. Within these formula grants, national priorities require States to expend 15 percent of their allotments for postsecondary and adult programs. States are also required to expend 10 percent for vocational education programs for handicapped students, and 20 percent for disadvantaged students, including persons of limited English-speaking ability. These priorities for the handicapped and disadvantaged populations specify that the States are to use the funds to the maximum extent possible to assist these students in participating in regular vocational education programs. States are required to match the overall basic grant, and in addition show specific matching for the expenditures for the national priority programs serving the handicapped, disadvantaged, post-secondary/adult and the funds used for State administration.

Also included in these formula grants are specific amounts for program improvement and supportive services. The research, curriculum development and exemplary programs, administered under the State research coordination units (RCUs), are conducted under contract. The remaining activities authorized under Subpart Three may be funded directly by grants or contracts by the State educational agency.

Program Scope:

More than $6.8 billion dollars from Federal, State and local funds were spent for vocational education in 1979-80, according to data from the National Center for Education Statistics. Of this total, $640 million was Federal money. This alltime high for vocational expenditures represents an increase of $320 million from the previous year. Growth of expenditures for vocational education is obvious when contrasted with the total Federal State and local expenditures of $2.6 billion in fiscal year 1972. In that year, $466 million was Federal funds.

States reported enrolling 16.5 million students in school year 1979-80, including 10.1 million secondary and 6.4 million postsecondary and adult students. Over 60 percent of the students served were enrolled in occupational specific programs such as agriculture, business and office, marketing and distribution, health occupations, vocational home economics, trade and industrial and technical education. Those enrolled in non-occupationally specific programs are primarily in consumer and homemaking and industrial arts. Enrollments are down slightly from the previous school year, attributed to decreasing secondary enrollments and exclusion of the Outlying Areas.

States reported enrollments by target populations during school year 1979-80 as follows:

Disadvantaged	2,038,943
Limited English proficient	72,731
Displaced Homemakers	42,176
Handicapped	400,575

The 1976 legislation is a complex document designed to identify specific procedures States would follow in carrying out Federal priorities. Efforts to assist States in working within the framework of this complex legislation and the results of this activity are described in the NIE study.

Program Effectiveness and Progress:

The Federal legislation of recent decades has provided has impetus to strengthen State planning and evaluation capabilities and has improved access for special target populations. However, most social and economic goals specified by current legislation have not been realized, according to the NIE study.

Postsecondary vocational graduates appear to have economic advantage over those without such training. Evidence is less conclusive for secondary graduates.

The NIE Vocational Education Study:

The National Institute of Education (NIE) study focuses primarily on the Congressional mandate to review how vocational funds were distributed, how State and local education agencies complied with applicable Federal laws, how program quality and effectiveness were assessed, and how consumer and homemaking education programs have been effective. (The latter is discussed under Subpart 5.)

Distribution of Funds:

Vocational funds are distributed to States and territories with little regard to differences among them in fiscal capacity and no regard to the relative costs of education. Procedures for distribution of funds to eligible recipients are identified in the statute and require States to use certain specific criteria. Many States have great difficulty in using these criteria to carry out the divergent legislative goals. Even if all mechanisms were working as the Act assumes, Federal grants have been too limited in scale to carry out the ambitious social and economic goals identified in the Act.

Programs and Services for Special Needs Students:

One of the key objectives of the Vocational Education Act is to assist States in improving their capacity to serve students in vocational education programs who are handicapped, disadvantaged or who have limited English-speaking proficiency. The NIE report reveals that the vocational set-asides, in combination with civil rights laws and other legislation, have stimulated the States to make a greater effort to serve students with special needs. In In the absence of such provision, the States and localities would probably not not target as many resources to this effort.

Overcoming Sex Bias and Sex Stereotyping:

While several provisions encourage the States to achieve this objective, only two are mandatory. In general, States are not taking full advantage of the availability of Federal funds for this purpose. Nonetheless, nontraditional enrollments have increased since passage of the 1976 VEA amendments. However, the NIE report concludes that sex stereotyping is still pervasive in vocational education but it is less severe than in the early 1970's.

Improving Planning:

The planning provisions of the 1976 legislation require States to organize a process to attune programs to changing labor market conditions and streamline planning documents. While the NIE report describes some positive effects--improved coordination, broad participation in planning decisions-- the full intent of the law has not been realized. For example, occupational demand data are now available, but such information is of questionable use for local program decisions which are based on local needs. State planning has improved; however, State plans are primarily compliance documents and do not reflect the operational planning that many States do. The States recognize the value of good planning and do a substantial amount of it. However, State plans apparently do not significantly influence local program decisions as most Federal and State funds are not allocated on the basis of local program planning applications. Where planning is required of the States, it does not have much impact on the local organizations where programs operate.

Program Improvement and Supportive Services:

Subpart 3 Section 130 authorizes States to fund activities and projects which will improve their vocational education programs. Under Subpart 3, States are authorized to fund six functions: research, exemplary and innovative programs, curriculum development, vocational guidance and counseling, personnel training, and projects to overcome sex bias. The first three functions must be funded by contract. Vocational guidance and counseling funds may be awarded by contract for statewide services or distributed by formula to individual eligible recipients. Personnel training and grants to overcome sex bias may be funded by grant award. States may also use Subpart 2 and Subpart 3 funds for State and local administration.

Strengthening Evaluations:

Federal legislation has stimulated State and local evaluation activities. However, statutory evaluation requirements using the criteria of student placement and employer judgments of a student's training and preparation for employment are not generally useful for improving programs. These criteria have generated the collection of data of dubious validity and reliability.

Effects of Vocational Education on Participants:

The results of research provide only a partial view of economic benefits to individuals and the possible effects of their vocational education experiences on those outcomes. Females who graduate from high school business and office programs have higher earnings, greater likelihood of employment jobs and higher occupational status than female graduates of secondary general curriculum. Differences in economic outcome for male secondary vocational and general curriculum graduates who have no postsecondary education are not as strong as those for females. High school graduates who pursue postsecondary education below the baccalaureate level do better on a variety of measures of gainful employment than those who do not. This summary from the NIE report is based on data from available surveys and it was further limited by the difficulty of attributing the attainments of students to particular educational experiences.

High school vocational students appear to have an advantage over nonvocational graduates in securing jobs when entering the labor market, according to a wide range of studies produced between 1968 and 1979, according to the National Center for Research in Vocational Education. However, the studies report no difference in the unemployment rates for the two groups. Postsecondary vocational graduates seem to fare quite well. They also had generally lower unemployment rates than those of nonvocational graduates.

Secondary graduates:

Eleven studies compared employment experiences of vocational and nonvocational students. The results suggested that a higher percentage of vocational graduates are employed upon graduation from high school; however unemployment rates are about the same. Some of the studies based on national longitudinal data reported no labor market advantage for male graduates. Female graduates did experience less unemployment than their general curriculum peers. While secondary vocational students had an initial earning advantage, this advantage did not persist more than a few years.

A majority of secondary-level vocational graduates find employment in training-related jobs.

Virtually all studies reported vocational students satisfied with their jobs. Employers reported satisfaction with the preparation of graduates of secondary vocational programs and in some cases more satisfied than with other comparable entry-level workers.

Research currently available is insufficient to answer the question, "Does vocational education serve to retain students in school who might otherwise drop out?"

Postsecondary graduates:

Few rigorous follow up studies [on postsecondary students] were reported. Those studies examined report that postsecondary vocational students have low rates of unemployment, and a majority (50 to 70 percent or better) were employed in training-related jobs. Insufficient information was available to compare differences with vocational and nonvocational graduates. The technical program area was associated with the highest earnings in five of the six more rigorous studies.

Former vocational students are satisfied with their jobs and employers are satisfied with graduates of vocational programs. In some cases, employers are more satisfied with vocational graduates than with other entry-level workers.

The Condition of Vocational Education:

Prepared from the 1979 Office for Civil Rights (OCF) Survey and by the National Center for Education Statistics (NCES), this report is drawn from the Vocational Education Data System VEDS was required by the 1976 Amendments as an effort to improve the reporting of students' characteristics, educational outcomes, and funding information. The report also characterizes the vocational education enterprise by describing its providers, offerings, students, facilities, instructional staff and finance using primarily Fiscal Year 79 data. The report examines problems students encounter in obtaining vocationnal education and the outcomes they achieve.

NCES reports that three years after high school, 75.5 percent of those who were in vocational programs were working. Four and one-half years after high school, the proportion was 74.5, reflecting the impact of females leaving the labor force, at least temporarily. If males only are considered, there were 83.6 and 84.3 percent of the vocational program graduates working for pay three and four-and one-half years after high school, respectively. In working for pay at that time.

More than 20 percent of students in vocational programs reported later that they had received at least some vocational training after high school, and another portion of that group (over 18 percent) reported college enrollment. However, more than half of the students enrolled in vocational education programs reported no further educational attendance or program completion.

Annual State Vocational Education, Reports

Reports from State Advisory Committees

Reports from the National Advisory Committee

Sources of Evaluation Data:

The following documents were reviewed during the preparation of the evaluation report. Fundings were not used from all reports in this presentation. However, they provide some useful background material.

The Vocational Education Study:

The Final Report. National Institute of Education, September 1981.

The Condition of Vocational Education:

National Center for Educational Statistics, October 1980.

The Vocational Education Study: The Interim Report:

National Institute of Education, September 1980.

The Effects of Participating in Vocational Education:

The National Center for Research in Vocational Education, May 1980.

The Role of Vocational Education:

National Commission for Employment Policy Report No. 12, September 1981.

Technical Analysis Report Series on Vocational Education, Vols, 1-4, U.S. Department of Education, 1980.

Vocational Equity Study. Volume I, American Institutes for Research, 1979.

National Study of Vocational Education Systems and Facilities. Westat, Inc., 1979.

Vocational Education and Training. Carnegie Council on Policy Studies in Higher Education, 1979.

The Planning Papers for the Vocational Education Study. National Institute of Education, 1979.

For further information about Program Operation,

Contact: LeRoy A. Cornelsen
(202) 245-3352

For further information about Program Effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Special Programs for the Disadvantaged
(CFDA No. 84.052)

Legislation:

Vocational Education Act of 1963 as amended by Public Law 94-482 Part A, subpart 4

Expiration Date:

September 30, 1984

Funding History:

Year	Authorization	Appropriation
1969	$40,000,000	-0-
1970	40,000,000	$ 20,000,000
1971	50,000,000	20,000,000
1972	60,000,000	20,000,000
1973	60,000,000	20,000,000
1974	60,000,000	20,000,000
1975	60,000,000	20,000,000
1976	60,000,000	20,000,000
1977	35,000,000	20,000,000
1978	45,000,000	20,000,000
1979	45,000,000	20,000,000
1980	50,000,000	20,000,000
1981	50,000,000	14,954,000
1982	50,000,000	14,356,000

Program Goals and Objectives:

Under Part A, Subpart 4, funds are provided to assist States in conducting special programs for disadvantaged persons who have academic or economic handicaps and who require special services and assistance in order to succeed in regular vocational education programs. Funds are allocated within States to areas of high concentrations of youth unemployment or school dropouts. Services and programs may also be provided to eligible students who are enrolled in nonprofit private schools.

Program Operation:

Grants are allocated to the States by formula with no matching required. Special services and programs are provided so that disadvantaged youth and adults can be mainstreamed into regular vocational programs, or where necessary, separate programs are provided. The students served include: persons of minority ethnic backgrounds, isolated areas, persons in inner cities, migrants, persons with limited English-speaking ability, the undereducated, and juvenile delinquents. Special services and programs are provided to these youth and adults to encourage them to stay in school to acquire the academic and occupational skills needed for successful employment or further career preparation.

Special services include specially trained teachers in remedial and bilingual specialties, staff aides, additional counseling services, facilities accessible to a high concentration of these students, and instructional materials and equipment best suited to their needs and abilities.

Some of the areas where these funds have been expended are those where English is a second language, rural depressed communities, low-cost housing developments in the inner city, correctional institutions, and off-reservation locations with a predominance of American Indians.

Program Scope:

In fiscal year 1980, 70,521 disadvantaged students were reported as served under this authority. Special disadvantaged expenditures totaled over $34.5 million in fiscal year 1980. Of this total, State and local agencies contributed more than $12.8 million although the law does not require matching for these funds.

Program Effectiveness and Progress:

Programs funded under Subpart 4 and those supported with set-aside monies are generally identical in design, according to the NIE report. However, since Subpart 4 funds are targeted on areas with high youth unemployment or school dropout rates, these funds frequently support alternative programs for potential dropouts. A number of States are using vocational education money for the disadvantaged to provide learning labs in which students can be given remedial assistance in the basic subjects of math and reading while enrolled in regular vocational education programs. Tutorial assistance is also provided in postsecondary institutions to help students keep pace with their peers in more technical subjects. Vocational education funds have supported these and other activities to help the disadvantaged obtain education and trainin for jobs with a future.

Some administrators reported having problems targeting Subpart 4 funds, because accurate data on youth unemployment and school dropout rates do not exist at State or local levels, the NIE report indicates. Using Statewide testing programs, however, States have little difficulty in identifying academically disadvantaged students. The States and localities were making little effort though to identify economically disadvantaged students and to offer them special programs, unless the students were also identified as academically disadvantaged.

Although students who are academically disadvantaged also tend to be economically disadvantaged, there is a strong bias against singling out students solely on the basis of their economic situation. States and localities appear to be relying primarily on Title I's definition of disadvantaged, which focuses on academic problems rather than the vocational definition which includes economicaly disadvantaged. This is especially true at the postsecondary level where a student's lack of success is the primary eligibility criterion.

Current Analytic Activities:

None

Sources of Evaluation Data:

The Vocational Education Study: The Interim Report. National Institute of Education, September 1980.

Annual State Vocational Education Reports

State Advisory Committee Reports

The Vocational Education Study: The Final Report. National Institute of Education, September 1981.

For further information about program operation,

Contact: Bayard Clark
(202) 245-3478

For further information about program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Consumer and Homemaking Education
(CFDA No. 84.049)

Legislation: | **Expiration Date:**

Vocational Education Act of 1963, as amended by P.L. 94-482, Part A,

September 30, 1984

Funding History:	Year	Authorization	Appropriation
	1970	$ 25,000,000	$ 15,000,000
	1971	35,000,000	21,250,000
	1972	50,000,000	25,625,000
	1973	50,000,000	38,322,000
	1974	50,000,000	30,994,000
	1975	50,000,000	35,994,000
	1976	50,000,000	40,994,000
	1977	55,000,000	40,994,000
	1978	65,000,000	40,994,000
	1979	75,999,000	43,497,000
	1980	80,000,000	43,497,000
	1981	80,000,000	30,347,000
	1982	80,000,000	29,133,000

Program Goals and Objectives:

The Vocational Education Act of 1963, as amended by the 1976 Amendments, provides formula grants to States to supplement funds from State and local education agencies for programs, services and activities for Consumer and Homemaking Education programs. The allotments to States are to be expended for:

> Educational programs in Consumer and Homemaking education consisting of instructional programs, services, and activities at all educational levels (to prepare males and females, youth and adults) for the occupation of homemaking including, but not limited to, consumer education, food and nutrition, family living and parenthood education, child growth and development, housing and home management (including resource management), and clothing and textiles. Emphasis in these programs will be on assisting youth and adults, males and females in consumer and homemaking education on unpaid employment occupation by (a) encouraging participation of both males and females to prepare for the roles of homemakers and wage earners

(unpaid employment), (b) encouraging elimination of sex stereotyping in consumer and homemaking education by promoting the development of curriculum materials which deal with increased numbers of women working outside of the home and increased numbers of men assuming homemaking responsibilities and changing career patterns for women and men; (c) giving greater consideration to the economic social and cultural conditions and needs and such courses may include bilingual instruction; (d) encouraging outreach programs for special audiences such as, school age parent, single parents, older Americans, incarcerated persons, handicapped persons, and various ethnic groups; (e) preparation of males and females who have entered or are preparing to enter the work of the home; (f) ancillary services and activities which assume quality in Consumer and Homemaking education programs such as teacher training and supervision; curriculum development, research, program evaluation, special demonstration and experimental programs, development of instruction materials, exemplary projects, provision of equipment, State administration and leadership.

Program Operation:

Grants are allocated to States and Outlying Areas based on the same formula used for basic grants. Use of funds within each State is based on approved five-year and annual vocational education plans. One-third of each State's allotment must be used in economically depressed areas or areas with high unemployment rates.

In school year 1979-80, States reported 3.6 million students enrolled in Consumer and Homemaking programs. Of these, nearly 1.3 million were from economically depressed areas. Because of declining secondary school enrollments, total enrollment in Consumer and Homemaking decreased by more than 270,000 and enrollments in economically depressed areas decreased by over 165,000.

Consumer and Homemaking expenditures were reported as exceeding $501 million during the 1979-80 school year. Of this total $43.8 million was Federal funds and $457.2 million was State and local.

Program Progress and Effectiveness:

The mandated NIE study on Consumer and Homemaking Education addresses what is being taught and to which kinds of students and analyzes the effects on learners as reported in research. Effects of 1976 legislation are also reported.

Comprehensive Consumer and Homemaking courses, which cover all six subject areas, are most frequently taught in 75 percent of the schools surveyed. Enrollment in food and nutrition (67 percent) and clothing and textiles (64 percent) are the highest of the six content areas. Enrollment in consumer education courses (36 percent) was taught with the least frequency.

NIE identified two kinds of programs as especially responsive to the aims of the Vocational Education Act--outreach programs for adults and "adult" living courses for high school students. These are also the programs least likely to be offered without Federal support.

More students were enrolled in Consumer and Homemaking Education programs between 1972 and 1979 than in any other vocational program field. The majority of learners are female secondary students.

Adult enrollments increased substantially in recent years, and many States have "adult living" programs which attract male students. The latter programs are offered in response to the 1976 Amendment's thrust to reduce sex-stereotyping.

The body of research reporting effects on learners is small and sometimes inconclusive. However, there is evidence that students do increase their knowledge in areas of child development, nutrition, family living, metric measurements and parenting. Studies of outcomes for consumer education report varied results. Part of the problem can be attributed to the fact that few methodologically sound studies could be identified.

Current Analytical Activities:

Nearly all States are involved in analytic activities and research efforts planned to improve state and local programs.

Sources of Evaluation Data:

Annual State Vocational Education Reports

Descriptive reports submitted by State Departments of Education, State Supervisors of Home Economics Education

The Vocational Education Study: The Final Report. National Institute of Education, September 1981.

For further information about program operation

Contact: Bertha G. King
(202) 245-3478

For further information about program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Indian Tribes and Indian Organizations
(CFDA No. 84.101)

Legislation:	**Expiration Date:**
Vocational Education Act of 1963 as amended by P.L. 94-482, Title I, Part A, Section 103 (a)(1)(B) (iii)	September 30, 1984

Funding History:	Year	Authorization	Appropriation 1/
	1978	$ 8,360,000	$ 5,218,476
	1979	9,789,000	5,437,777
	1980	11,800,000	5,929,888
	1981	11,800,000	6,929,755
	1982	11,800,000	6,186,230

Program Goals and Objectives:

Under this program the Secretary is authorized to award grants and contracts to Indian tribal organizations and Indian tribes eligible to contract with the Secretary of the Interior for the administration of programs under the Indian Self-Determination and Education Assistance Act of 1975 or under the Act of April 16, 1934.

The tribal organizations can use the funds to plan, conduct and administer programs which are authorized by, and consistent with, the purposes of the Vocational Education Act. The program has two major objectives: (1) to improve the quality and accessibility of vocational education programs for American Indians; and (2) to afford Indian tribes and organizations the opportunity to plan, conduct and administer vocational programs to meet their perceived needs. These objectives are consistent with the Declaration of Policy of the Indian Self-Determination and Education Assistance Act. It is a policy which permits an orderly transition from Federal domination of services to Indians, to effective and meaningful participation of Indian people in the planning, conducting and administration of those program services.

1/ P.L.94-482 authorizes a one percent set-aside of funds from Subparts 2 and 3 (basic grant and program improvement) to support Indian projects and one percent from the Smith-Hughes permanent authorization ($68,034).

Program Operation and Scope:

Thirty-four projects in 15 States were funded in fiscal year 1982. Of these, 24 began their first year of funding and 10 are continuation grants. Ongoing projects are reviewed each year and continuation may be granted not to exceed three fiscal years for grantees submitting evidence of satisfactory performance.

Training is offered in a wide range of occupations varying from building construction trades, entrepreneurship business and clerical skills, small business and public management, heavy equipment agricultural occupations, automotive repair and maintenance, upgrading of skills police employees, and fisheries management, graphic arts, bilingual training, machine shop occupations, and horticulture.

The 34 programs funded under this authority generally support new vocational programs on Indian reservations where training opportunities have been very limited, or install new occupational programs and/or supportive services in existing facilities. Most projects are designed to bring training to Indians who cannot commute great distances and who cannot afford to leave home to attend schools.

Program Effectiveness and Progress:

"An Assessment of Vocational Education Programs for Indian Organizations and Tribes" was designed as a short-term study to provide descriptive information about the program operation; to determine how the projects fit into and promote the economic development plans of the tribes; to identify non-fiscal obstacles which inhibit or limit the operation of the projects as planned; to identify key variables which appear necessary to provide programs of high quality; and to determine, from records where available, how project participants fared after completing their training. The study was planned to meet the requirements of Public Law 95-40, the Vocational Technical Amendments of 1977, which mandated an evaluation.

Field visits were made to 17 projects which were funded during the program year 1978-79 and which were continued during 1979-80. At each project location, three types of respondents were interviewed: project directors, organizational/tribal education representatives, and project instructional staff. A special effort was made to determine from available how project participants fared after completing their training and finding employment.

For Indian youth in ten communities, the program offered vocational opportunities where no training existed previously. In nine communities, the program supplemented existing vocational training programs by introducing new training areas not available programs. For Indian adults in seven communities, the program offered training in locations where no opportunities existed previously. In nine communities, the program supplemented existing programs. These programs appear to fill a vocational training void in Indian communities.

The program is clearly located in geographic areas where need is high. The incidences of poverty and unemployment in Indian communities is high when compared to national standards. Many respondents indicated that more than three quarters of their Indian communities could be classified as low-income.

The vocational training needs identified by the project directors and the organizational/tribal representatives were those which directly influenced the design and objectives of the vocational education projects. The linkage between the needs identified by local persons and the tribal economic development plans, while it may exist, could not be verified. Clearly, the degree of experience in accessing these needs varies from tribe to tribe.

Strong program management, tribal and community support, Indian staff, and the availability of community based supportive services, such as counseling, basic skills, including bilingual instruction, are factors which appear necessary to provide programs of high quality.

Although study follow up information was not available, trend data indicated that 39 percent completed their training and secured jobs or continued their education during the program year 1978-79, and 48 percent completed their training and secured jobs or continued their education in program year 1979-80. Program reports indicated that projects have continued to improve their performance.

Current analytic activities:

None.

Sources of Evaluation Information:

An Assessment of Vocational Education Programs for Indian Organizations and Tribes. Communications Technology Corporation, November 1980.

For further information about program operations,

Contact: Richard Carlson
(202) 245-8190

For further information about program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education -- Programs of National Significance

Legislation:	**Expiration Date:**
Vocational Education Act of 1963 as amended by P.L. 94-482, Title II, Part B, Subpart 2	September 30, 1984

Funding History:	Year	Authorization	Appropriation [1]
	1978	$ 44,000,000	$ 27,153,000
	1979	51,500,000	28,307,000
	1980	59,000,000	10,000,000
	1981	66,250,000	10,000,000
	1982	74,250,000	7,178,000

Program Goals and Objectives

The overall goal of the Programs of National Significance is to improve the quality of vocational education programs in the States for all persons including the handicapped, females, the disadvantaged, and minorities. Projects are intended to influence areas of national concern and to lever the use of State and local program dollars to assure that these funds have maximum beneficial impact. These projects also may: (1) produce information for policy development, (2) develop curriculum materials for new and changing occupations, (3) develop leadership personnel and certify vocational teachers in occupational areas where teachers shortages exist, (4) demonstrate new techniques and services for students, (5) package and disseminate information in usable forms for special populations, and (6) ensure that information and materials are placed in the hands of vocational education practitioners.

Program Operations:

In FY 82, about 14 projects previously funded were monitored in addition to the National Center for Research in Vocational Education and the National Network of six Curriculum Coordination Centers. The personnel development program was phased out.

---

[1] The appropriated funds for any given fiscal year are advance funded for the next fiscal year. These funds however, become available for obligation on July 1 instead of October 1. Smith-Hughes apportionment provides $358,073 annually for purposes under this line item.

The program maintained, for the fourth year, the National Center for Research in Vocational Education, which was established in FY 78. The purpose of the Center is to promote improvement in vocational education by: (1) conducting applied research and development activities, (2) providing leadership development activities for State and local vocational educators, (3) disseminating the results of research and development, (4) maintaining a clearinghouse on research and development projects supported by States and Federal agencies, (5) generating national planning and policy development information, and (6) providing products and technical assistance in program evaluation to State and local agencies.

In order to bring the many activities authorized under the Programs of National Significance together with related Federal research and development programs, the Vocational Education Act also authorized the establishment of the Coordinating Committee on Research in Vocational Education. The Coordinating Committee, which represents the Office of Vocational and Adult Education, the National Institute of Education, the Office of Special Education and Rehabilitative Services, the Office of Career Education, and the Fund for the Improvement of Postsecondary Education, has three major objectives: (1) developing a plan, for each fiscal year, which establishes national priorities for the use of funds available to these agencies for research, development, etc.; (2) coordinating the efforts of member agencies in seeking to achieve these priorities in order to avoid duplication of effort; and (3) developing a management information system on the projects funded pursuant to this plan in order to achieve the best possible monitoring and evaluation of these projects and the widest possible dissemination of their results. Under this broad mandate, the Coordinating Committee arranged for the publication of an annual publication entitled Projects in Progress. The Committee distributed a brochure to inform perspective grantees and contractors of the programs available to them. The brochure is entitled Guide to Federal Funding in Career Education, Education and Work, and Vocational Education.

Program Scope:

Funding for the Programs of National Significance in FY 81 was $10,358,073, which included five percent of the Smith-Hughes funds. FY 82 funds have not been obligated at the time this report was written. The National Center for Research in Vocational Education and the Curriculum Coordination Centers are being supported at reduced levels. Six new research or demonstration contracts were awarded with FY 81 funds.

In order to promote excellence, innovation, and leadership in vocational education at the Federal, State, and local levels, activities of the Programs of National Significance focused on three major priorities which were each tied to a national problem. These are: (1) reduce youth unemployment, (2) increase involvement of the private sector, and (3) assess ways for improving productivity. All projects under this program address new and innovative approaches to these nationwide concerns.

Program Effectiveness and Progress:

During FY 81, support was provided for approximately eight research and vocational guidance projects, the National Network of six Curriculum Coordination Centers, and the National Center for Research in Vocational Education. Among the projects funded in FY 81, four were new applied studies projects. Most of these focused on materials or information which would assist in improving vocational education. These newly funded projects addressed such content areas in vocational education as:

(1) "Utilizing Vocational Education to Improve Productivity";

(2) "Developing State Dissemination Plans";

(3) "Linking Community and Collaborative Careers to Youth Employment Initiatives"; and

(4) "The Commission on Vocational Education and Economic Development in Depressed Areas."

Support was continued for a National Network of six Curriculum Coordination Centers, two of which were newly awarded as a result of a competitive process. These Curriculum Coordination Centers are a major resource for diffusion of curriculum materials and assistance to State vocational leaders in maximizing their management of curriculum development, conducting field testing and demonstration, and in improving their information and materials dissemination activities. In State reports to the Centers, for example, it was noted that 50 States adopted or adapted 578 diffused instructional materials developed outside their States at a total saving of $4,314,600 in developmental costs. During the year, staff from the Centers conducted or participated in 292 workshops for 26,205 materials developers, administrators, and teachers. The Centers collectively disseminated a total of 140,186 copies of curriculum materials and information, conducted a total of 2,539 searches for materials needed by their clients, and implemented 79 interstate curriculum activities.

Support was continued for the National Center for Research in Vocational Education. During its fourth year of operation (February 1, 1981 - January 3, 1982), the Center continued in its efforts to improve a comprehensive nationwide research and development system for vocational education. Emphasis was continued in the National Center's major themes of:

(1) comprehensive planning, (2) responsiveness to special needs of subpopulations, (3) equity, and (4) effective evaluation. The National Center had deliverables in eight major areas: Applied R&G - Independent Studies; Applied R&D - Designated Studies; Leadership Development; Dissemination and Utilization; Planning and Policy Development; Resources in Vocational Education; Evaluation; and National Center and R&D Evaluation and Management. Applied R&D Studies focused on technology adaptation and the emerging role for postsecondary vocational education, using labor market information in vocational education planning and evaluation and equity issues. Studies for information for planning and policy development focused on the effects of secondary vocational education on the occupational attainment of young adult workers and on the patterns of participation in vocational education and their subsequent outcomes. In the area of evaluation, a handbook was developed for evaluating vocational programs in correctional institutions. The factors affecting job placement in vocational education were also examined.

Current Analytic Activities:

A study of products from the National Center for Vocational Education Research is planned.

Sources of Evaluation Data:

Office of Vocational and Adult Education Program Data

For further information about program operations,

Contact: Howard Hjelm
(202) 245-9634

For further information about studies of program activities,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Adult Education - State-administered Program (CFDA No. 84.002)

Legislation:

Adult Education Act, P.L. 91-230,
as amended

Expiration Date:

September 30, 1984

Funding History:

Year	Authorization	Appropriation
1965	(Under Econ. Opp. Act)	$ 18,612,000
1966	(" " " ")	20,744,063
1967	$ 40,000,000	29,200,000
1968	60,000,000	40,250,000
1969	70,000,000	45,000,000
1970	160,000,000	50,000,000
1971	200,000,000	55,000,000
1972	225,000,000	61,300,000
1973	225,000,000	85,000,000
1974	150,000,000	63,485,000
1975 [1]	150,000,000	67,500,000
1976	175,000,000	67,500,000
1977	200,000,000	71,500,000
1978	200,000,000	80,500,000
1979	210,000,000	90,750,000
1980	230,000,000	100,000,000
1981	250,000,000	100,000,000
1982	100,000,000	100,000,000
1983	100,000,000	100,000,000

Program Goals and Objectives:

The purpose of this program, as stated in the legislation, is "to expand educational opportunties for adults and to encourage the establishment of programs of adult education that will --

(1) enable all adults to acquire basic skills necessary to function in society.

(2) enable adults who so desire to continue their education to at least the level of completion of secondary school, and

(3) make available to adults the means to secure training that will enable them to become more employable, productive, and responsible citizens."

---

[1] In 1975 the Appropriation Act included funds for both 1975 and 1976, placing this program on an advance funding basis.

The legislation defines the program's population as persons who have attained the age of 16 and (1) lack sufficient mastery of basic educational skills to enable them to function effectively in society or who do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education, and (2) are currently not required to be enrolled in school. The law identifies the following groups within the target population for which there is special concern: residents of rural areas, residents of urban areas with high rates of unemployment, adults with of limited English language skills, institutionalized adults, and adult immigrants.

Changes made in the Adult Education Act by the 1978 Amendments increase outreach activities and encourage expansion of the delivery system through the use of agencies, institutions, and organizations other than the public school system. Other changes include:

- expanding the purpose to include basic functional skills,
- broadening State plans to require more consultation with outside groups, improved needs assessment, and removing barriers to adult participation;
- providing research, development, dissemination, and evaluation authority at the national level.

These amendments became effective November 1, 1978. Three-year State plans beginning with fiscal year 1980 program operations implemented the amended legislation. Implementing regulations became effective on May 4, 1980.

Program Operations:

There are two major parts to the adult education program established under the Adult Education Act. One is the State-administered program and the other is comprised of three national discretionary programs.

The State-administered program establishes a cooperative effort between the Federal government and the States. Funds are allocated to the States on a formula basis and the States, in turn, fund local programs based on need and resources available. Each State is required to match these Federal funds at the rate of 10 cents for every 90 cents of Federal money.

Of the amount appropriated for this program, the Secretary shall allot not more than 1 percent to the Outlying Areas and $150,000 to each State. The remainder shall be allotted to each State on the basis of the number of adults who do not have a certificate of graduation from a secondary school or it its equivalent. In order to receive its allotment, a State must file a general State application and submit a State plan not more frequently than once every three years.

The State then distributes grants on the basis of annual applications submitted by local educational agencies and public or private nonprofit agencies, organizations, and institutions. These grants are awarded competitively based on criteria devised by the States. In devising the criteria, a State must consider the following factors:

- the needs of the population to be served by the applicant
- the extent to which the applicant proposes projects to reach adult populations least educated and most in need of assistance
- the extent to which the applicant gives special emphasis to adult basic education projects
- the adequacy of outreach activities, including:

  flexible schedules to accommodate the greatest number of adults who are least educated and most in need of assistance

  locations of facilities offering programs that are convenient to large concentrations of adult populations identified by the needs of assessment, or how the locations of facilities will be convenient to public transportation, and

  the availability of day care services to participants in the project.

- the extent to which cooperative arrangements with other agencies will be used for delivering adult education and support services
- the resources available to the applicant - other than Federal and State adult education funds - to meet these needs
- the extent to which the proposed activity addresses the identified needs
- the extent to which the project objectives can be accomplished within the amount of the budget request.

The three national discretionary programs are:

1. A National Research Development and Dissemination
2. Planning Grants; and

3. An Adult Education Program of Adult Immigrants.

(The Emergency Adult Education Program for Indochina Refugees was repealed in 1981.)

In fiscal year 1980, $5,000,000 in a supplemental appropriation was made available by the Congress for the two discretionary programs: Adult Indochina Refugees and Immigrants. An additional $17.6 million was made available for adult education for Cuban and Haitian immigrants. These programs were operational during 1981-82. No appropriation has been made for the National Development and dissemination Program or Planning Grants.

Technical assistance is given in the development of State plans and in the quality of management plans. This is rendered by the Federal government to the State educational agencies and by the States to the local level.

In addition to State plans which may be updated any time during the 3-year periods, financial and performance reports are required annually. An evaluation of activities according to criteria and procedures included in the State plan is sent to the Secretary by the State. The evaluation shall be performed at least once every three years.

To be eligible for Federal funds a State shall maintain its fiscal effort. A State shall expend for adult education from non-Federal sources an amount equal to the fiscal effort of the State in the preceding fiscal year. A State may determine its fiscal effort on a per-student basis or on a total expenditure basis. The Secretary does not make any payment to a State in any fiscal year unless the Secretary finds that the fiscal effort of a State for adult education for the preceding fiscal year was not less than the fiscal effort expended for adult education purposes during the second preceding fiscal year. However, the Secretary may waive for one fiscal year only the maintenance of effort requirement if the Secretary determines it would be equitable to do so in view of exceptional and unforeseen circumstances affecting the State. Granting a waiver reduces the Federal payment proportionately for the current fiscal year.

A State wishing to receive a waiver shall submit a request with its 3-year State plan or as an amendment to the plan, including in the request the reason and any additional information the Secretary may require. As of July 1981, no State has requested a waiver. Maintenance of effort is monitored indirectly by the Federal government by an analysis of financial reports and by visits to State agencies.

Program Scope: 1/

Most Federal funds are distributed by the States to support instruc-

---

1/ The source of information in this section are findings prepared by Development Associates, Inc. (under contract to the Department of Education for the evaluation of the Adult Education State-administered Program, July 1980), and the Office of Vocational and Adult Education.

tional projects at the local level. Grants to States in fiscal year 1981 ranged from $73,172 to $8,334,833.

Types and Amounts of Federal Grants

The estimated distribution of the fiscal year 1982 monies is as follows: (1) $1,000,000 received for Outlying Areas, (2) each State, the District of Columbia and Puerto Rico receiving a minimum amount of $150,000 and (3) the remainder distributed on the basis of the number of persons 16 and over with less than a high school education based on the 1970 Census. Thirty-two States had grants of more than $1 million with the four largest being New York ($8,334,833), California ($7,373,624), Pennsylvania ($5,620,657), and Texas ($5,500,870). The smallest State amount was $240,062, granted to Alaska.

Section 310 of the Act provides that not less than 10 percent of the funds allocated to the States shall be used for special projects and teacher training. These may involve the use of innovative methods, systems, materials, or programs which have unusual promise in promoting a comprehensive or coordinated approach to the problem of persons with educational deficiencies, or may be for training present or potential program personnel.

The majority of Federal funds are expended on various types of instructional activities through grants made by the States to projects at the local level. All States are required to place emphasis on adult basic education programs.

In addition to adult basic and secondary education, the Federal legislation encourages provision of instruction in English as a second language (ESL). In some States ESL activities constitute a major and separately funded component of the program. Of the total population served in adult education programs, nearly 20 percent are in this component.

State and Local Funding

The Adult Education Act provides that the Federal share of the expenditures needed to carry out the State Plan shall be no more than 90 percent (except with respect to American Samoa, Guam, the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the Virgin Islands, where the Federal share may be 100 percent).

The average cost in Federal funds for fiscal year 1981 was $45 per participant.

The last national evaluation of the program was completed in July 1980 for the Office of Program Evaluation by Development Associates. It contained the following conclusions:

1. Increasing numbers of adults are being served, but there continues to be a large, unmet need for additional services.

2. An estimate of 1.9 million adults were served in fiscal year 1979. Of these, 58.8 percent females, 65.1 percent were under

35 years old, 56.7 percent were members of ethnic minorities, and 26.9 percent received public assistance.

3. Generally, participants (79.7 percent) reported partial or fully attainment of their personal goals for the specific program for which they enrolled.

4. Only 38 percent of student met in elementary and secondary school, 28 percent met in adult learning centers, 10 percent in community colleges and vocational/technical schools, and 25 percent in churches, prisons, libraries, or private homes. Much of the instruction was individualized and competency-based. About 35 percent of the teachers were assisted by volunteers or aides.

5. More emphasis is needed on clearly targeting the Federal program and on helping local projects serve the target population groups.

Ongoing and Planned Evaluation Studies:

An evaluability assessment was conducted for the Department of Education by the American Institute for Research. It was designed to surface issues that may require further examination and to systematically present the processes involved in implementing programs for adults.

Source of Data:

- National Advisory Council on Adult Education
- An Assessment of the State-administered Program of the Adult Education Act, Development Associates, Inc. July 1980. U.S. Department of Education, Office of Program Evaluation.

Program Effectiveness and Progress:

State reports for 1981 show the following demographic data on the population served nationally:

Total number of participants		2,234,878
American Indian & Eskimo	25,211	
Asian or Pacific Islander	224,010	
Black	467,384	
Hispanic	488,070	
White	1,030,203	
Level I participants (grades 0-8 and ESL)	1,528,643	
Level II participants (grades 9-12)	706,235	

Age 16-24 years	940,205	
25-44	873,485	
45-59	278,234	
60+	142,954	
Male	1,021,215	46%
Female	1,213,663	54%

States reported the achievement of goals such as the following:

1. States provided educational opportunties to the priority populations, i.e., adults with limited English proficiency, adults in rural areas, adults in urban areas with high rates of unemployment, and immigrant adults.

2. States reported major involvement in adult education and support services by business and industry, churches, local educational agencies, and voluntary/community organizations.

3. States continued efforts to improve the quality of instructional services through special experimental demonstration projects and teacher training projects. Projects trained personnel -- administrators, supervisors, teachers, and paraprofessionals. Program areas of major investment for special projects include learning for the disabled, high school diploma, English as a second language, adult performance level/life skills, and community linkages.

For further information about program operation,

Contact: Paul V. Delker
(202) 245-2278

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Education (CFDA No. 84.081)

Legislation:	**Expiration Date:**
Elementary and Secondary Education Act, Title VIII	October 1, 1982

Funding History:	Year	Authorization	Appropriation
	1975	$ 17,000,000	$ -0-
	1976	17,000,000	3,553,000
	1977	17,000,000	3,553,000
	1978	17,000,000	3,553,000
	1979	17,000,000	3,190,000
	1980	100,000,000	3,138,000
	1981	123,000,000	3,138,000
	1982	100,000,000	Program consolidated into Chapter 2 Education Block Grant

Program Goals and Objectives:

The goals of the community education program as defined by the Community Schools and Comprehensive Community Education Act and reiterated in the regulations are:

(1) to provide in collaboration with other public and nonprofit agencies educational, recreational, cultural, and other related community and human services, in accordance with the needs, interests and concerns of the community through the expansion of community education programs;

(2) to coordinate the delivery of social services to meet the needs and preferences of the residents of the community served by the school;

(3) to provide for an efficient, energy-conserving use of school facilities; and

(4) to provide for a research and development emphasis in community education which can contribute to an improved formulation of Federal, State, and local policy.

Program Operations:

Discretionary competitive grants were made to local education agencies and to public and private nonprofit organizations to pay the Federal share of the cost of planning, establishing, expanding, and/or operating community education programs. In addition, funds were made available to institutions of higher education to develop and establish or to expand programs which trained persons to plan and operate community programs.

Funds were also authorized to make formula grants to State educational agencies in accordance with the development of a State plan. The Federal share of the cost of the State plan was to be 80 percentum for fiscal year 1981, 30 percentum for fiscal year 1982, and 20 percentum for fiscal year 1983. The Federal share of the cost of applications of local educational agencies was 90 percent for fiscal years 1979 and 1980, 80 percent for fiscal year 1981 and each of the two succeeding fiscal years. The Federal share of the cost of grants to nonprofit organizations was 90 percent for fiscal years 1979 and 1980 and 80 percent for fiscal year 1981 and for each of the two succeeding fiscal years.

Program Scope:

93 grants were awarded in fiscal year 1976.
92 grants were awarded in fiscal year 1977.
83 grants were awarded in fiscal year 1978.
63 grants were awarded in fiscal year 1979.
64 grants were awarded in fiscal year 1980.
60 grants were awarded in fiscal year 1981.

Institution	Amount of Appropriation	No. of Grants
		FY 81
LEA's	$ 1,000,000	27
Nonprofit public agencies	500,000	8
IHE	500,000	5
SEA's	1,138,000	20

Program Effectiveness and Progress:

The Community Schools Act and the Comprehensive Community Education Act of 1978 mandated that the Community Education Advisory Council present to Congress a "complete and thorough evaluation of the programs and operation" of the community education program for each year of the Act. To fulfill this requirement, the Advisory Council and the Division of Program Evaluation awarded a contract in September 1979 to Development Associates, Inc., to conduct an evaluation study. The purpose of the national Evaluation of Community Education Program was twofold: (1) to describe and analyze the operations of State education agencies (SEA's) as they promote and develop the concept of community education in their respective states; and (2) to assess the impact of Federal support on the capabilities of SEAs to develop their capacities in the community education area.

The study focused on State education agencies and State capacity building for several reasons. In recent years, State education agencies have been defining and assuming a greater role in community education. The federal community education program has supported this emergence of SEA leadership by placing heavy emphasis on State capacity-building through SEA development. In addition, the evaluation came at the conclusion of a 4-year Federal funding cycle and the beginning of a new period of Federal support. The year 1980, therefore, was a significant point at which to examine the leadership of SEA's and the impact of the Federal program, as well as make recommendations to national and State policy makers in community education.

Through use of questionnaires completed by State community education coordinators and local community educators, site visits to 38 States, and third-party evaluators, data was compiled for a detailed program analysis. Those findings, conclusions, and related recommendations were developed out of and structured around a series of questions on SEA community education policies and practices.

Most State community education programs were initiated in the mid 1970's. Of the 38 SEA programs which were visited and surveyed during this study, two-thirds began their programs between 1974 and 1977, coinciding with the time of the Federal initiative. Of the 38 surveyed, 36 (96 percent) had formally designated statewide CE programs in 1980. Formal designation consisted variously of the appointment of a CE coordinator, the establishment of a CE office, the receipt of a Federal grant, the approval of a State plan, or the passage of State legislation.

The extent and nature of community education programs within the 51 SEA's varies considerably in terms of State commitment to community education, certain structural features of CE offices, as well as in terms of specific operations and staff activities focused at the State and local levels. While State-level CE programs can be described in various ways, SEA programs can be seen as including 12 varied elements which can be used to describe commonalities and differences among the programs to summarize the national assessment of community education development.

While these 12 elements are grounded in the practice and activities of the SEA, all SEA's do not have all elements. In fact, one State has not yet developed any of these elements and a few States have only several of the elements in place. Even so, almost all of the 12 elements exist in at least half of the States. The patterns of development and the extent to which certain or all of the elements were in place was a focus of this study. The descriptive question of what are the common elements of State community education systems became important. To answer this question, the Community Education Development Index (CEDI) was developed.

The presence and development of State commitment and State operational elements, varied across the elements and the 51 SEA's. For example, 25 SEAs received one point for SEA's board resolutions and 25 SEA's received one point for having State CE legislation on the CEDI. However, only 12 States had both components of that policy element. Thus 13 States did not have any form of State policy support.

There was, on the other hand, somewhat greater consistency in the CE office/staff element. That is, 46 SEA's had an office designated (all 51 SEAs had at least a part-time person responsible for some community education activity) for community education and 34 (67 percent of all SEAs and 76 percent of those with an office) had full-time CE coordinators.

Of the SEA operational elements, interagency cooperation (46 SEAs) was the most common element across all 51 SEA's and the use of a reporting system was the least common (24 SEA's).

The major findings were:

- The strongest components of the SEA CE programs were State needs assessment and interagency cooperation.
- The weakest components were in State planning, evaluating, and reporting.
- Only about half the States have strong commitments (supporting legislation, or funding) to CE programs.
- SEA's with full-time CE coordinators are most likely to have State-level operations in place.
- At least two consecutive years of Federal funding appear to be required to generate SEA CE program activation.
- The need exists for systematic and common data and for information on CE local programs aggregated at the State and national levels.

A final report on the Evaluation of the Community Education Program was presented to Congress in the fall of 1981.

Due to program consolidation, the Community Education Program Office was closed down on February 28, 1982. Staff was retained, however, until October 1, 1982, to continue to administer the 1981 grants, and to provide staff support for the national Community Education Advisory Council.

Community Education Advisory Council

Unlike past years, the Community Education Advisory Council was not allocated funds this year to contract out for evaluation or research studies in community education. However, the Council developed a final report for calendar year 1982 and made recommendations to the Secretary of Education regarding possible future Federal roles in education.

SEA's

Under Chapter 2 of the Education Consolidation and Improvement Act of 1981, SEAs and LEAs are given the authority to spend their Federal education block grant monies for community education purposes. To assist SEAs in assuming their increased responsibilities, experiences were provided to strengthen statewide support for community education, assist State agencies in providing services to citizens, and build a network among State directors of community education to promote the sharing of strategies and information.

LEAs

Several LEA projects continue to serve as national models of exemplary community education programs. Many local projects have developed products to assist communities in developing similar community education programs to meet their own local needs.

Awareness Projects

Other Federal projects focused their efforts on expanding the support base for community education by creating an awareness of the community education process among such national educational associations as the American Association of School Administrators, the National School Boards Association, and the Council of Chief State School Officers. By explaining the community education components of citizen involvement, interagency cooperation and shared facility use, these projects sought to demonstrate the potential usefulness of the community education process for such national associations.

For further information about program operations,

Contact: Laura Karl
(202) 245-0691

For further information about program effectiveness,

Contact: Paul Messier
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Emergency Adult Education Program for Indochina Refugees
and the Adult Education Program for Adult Immigrants
(CFDA Nos. 84.093, 84.113)

Legislation:	Expiration Date:
Section 317, originally authorized as Sec. 315, Adult Education Act, by Sec. 301 of P.L. 94-405 (Indochina Refugee Children Assistance Act of 1976); later redesigned as Sec. 317 by P.L. 95-561 (Education Amendments of 1978), but erroneously retained as Sec 315 in some compilations, then repealed by the Omnibus Education Reconciliation Act of 1981.	October 1, 1981
Section 318 of the Adult Education Act added by Section 1313 of P.L. 95-561 (Education Amendments of 1978), but not printed in some compilations.	September 30, 1984

Funding History:	Year	Authorization	Appropriation
	1976	"Such sums as may be necessary"	$5 million supplement to State grants (made available by the Indochina Migration and Refugee Assistance Act)
	1977	"	$10.25 million
	1978	"	No appropriation
	1979	"	No appropriation
	1980	"	$22,600, 000
	1981	No request	
	1982	No request	

Program Goals and Objectives:

The purpose of the above programs is to enable the participants to become productive members of American society. Funds are used to promote language and literacy skills in English, to support programs of instruction in basic reading and mathematics, and to develop and enhance career and employment opportunties. Administrative costs, education support services, and special projects to develop an individual's occupational skills may be funded.

Program Operations:

The Secretary of Education may enter into grants or contracts with State and local educational agencies and other public or private nonprofit organizations to provide adult education programs for immigrants. At least

50 percent of the funds must be awarded in contracts to private nonprofit organizations. Only State and local educational agencies are eligible to receive grants for adult Indochina programs. There were three programs as follows: the Emergency Adult Education Program for Indochina Refugees (sec. 317, $2.5 million), the Adult Education Program for Adult Immigrants (sec. 318, $2.5 million), and the Adult Education Program for Adult Immigrants (sec. 318, Cuban and Haitiian entrants, $17.6 million).

Program Scope:

Adult Indochina Refugees Program ("Section 317"): The Department of Education awarded fifteen grants to Indochina training projects in the following States for a twelve-month period: one project each in Arizona, Florida, Indiana, Maryland, New Mexico, New York, Rhode Island, Texas, and Washington; two in Virginia; and four in California. Although the availability of funds limited the program to fifteen projects in eleven States, 105 eligible proposals were received from applicants in 38 different States. The projects are serving nearly 10,000 refugees at a total cost of $2,476,412.

Adult Immigrants ("Section 318"): Under this section, the Department of Education entered into a total of 37 eighteen-month contracts (ending September 30, 1982) to provide educational programs for adult immigrants. Eighteen of these projects were awarded by geographical area of immigrant origin: seven for Asia and Oceania, four for Europe and Africa, five for South America and the West Indies, and two for North and Central Americas. These projects are serving approximately 5,000 immigrants at a total cost of $2,429,096.

Due to the unanticipated large influx of entrants from Cuba and Haiti, a supplement of $17.6 million to the 1980 appropriation was made. Nineteen Cuban and Haitian projects were thus funded in those regions of the country especially affected by these new entrants.

(a) Cuban Programs: Awards were made to four contractors to serve Cuban entrants residing in Florida (18 eligible proposals were received). A total 15,413 Cuban entrants in Florida are being served with funds amounting to over $7 million. A total of 7,343 Cuban entrants residing in States other than Florida are served by eight contractors receiving over $3 million in Federal funds (49 eligible proposals were received). The geographical distribution under the latter procurement is one each in Maryland, New Jersey, New York, and Virginia; and two each in California and Massachusetts.

In addition, three sole source contracts were awarded to provide English-as-second-language training programs to 4,650 Cuban entrants residing in temporary holding camps:

1. Board of Vocational, Technical, and Adult Education; Madison, Wisconsin Fort McCoy, Wisconsin	$389,807

2. Central Susquehanna Intermediate Unit; Fort Indiantown Gap, Pennsylvania	$396,925
3. State Department of Education, Little Rock, Arkansas Fort Chaffee, Arkansas	$663,630

(b) Haitian Programs: Three contracts were awarded to serve Haitian entrants residing in the State of Florida. Nearly 5,000 entrants are being served at a cost of $2,649,547. Six contracts were entered into to serve Haitian entrants residing in States other than Florida (one each in Delaware, Louisiana, Maryland, Massachusetts, New Jersey, and four in New York). Nearly 5,000 entrants are being served at a cost of $2,706,000.

Program Effectiveness and Progress:

There has been no formal evaluation of this program. Project reports, however, indicate that educational services are being provided in a cost-effective manner to more refugees and immigrants than estimated.

Current Analytic Activities

Each grantee will provide the program office with a final report of its project.

Source of Data:

Federal Regulations, Title 34, Part 432.
The Adult Education Act, Public Law 91-230, as amended

For further information about program operations,

Contact: Paul V. Delker
(202) 245-2278

For further information about studies of program effectiveness,

Contact: Tetsuo Okada
(202) 245-9401

OVERVIEW - POSTSECONDARY EDUCATION PROGRAMS

OVERVIEW - POSTSECONDARY EDUCATION PROGRAMS

The Department of Education's (ED) postsecondary education programs in academic year 1981-1982, focused principally on providing financial assistance to students. Although eligibility requirements were tightened in 1982 in both the Pell Grant and Guaranteed Student Loan Programs, the thrust of the programs administered by ED remains unchanged: to assist students to overcome financial barriers to postsecondary education. This section provides an overview on how well this aid as a whole has affected students' ability to finance college costs. In reviewing the impact or effectiveness of Federal student aid programs administered by ED, equity in overcoming financial barriers is achieved if funds (Federal as well as other sources) are distributed so that students and their families with similar financial conditions and educational costs receive essentially the same financial aid treatment.

Federal student assistance totaled about $11.8 billion in FY 1982 (Table 1). It was made available to students and their parents directly by the Federal government through educational institutions, and indirectly through State agencies and banking and educational institutions by subsidizing interest and/or guaranteeing loans. In addition, about $350 million was also available to institutions for other purposes. Over two-thirds of these funds are distributed directly to institutions primarily through the Institutional Assistance Program (Title III of the Higher Education Act) and the Special Programs for Disadvantaged Students. These latter programs distributed funds to institutions with large numbers of students who qualify for Federal student assistance, thus they complemented the student financial aid programs.

This overview will begin with a brief review of the history of appropriations for ED-administered student assistance programs. Next is a detailed discussion of college participation, a detailed discussion of why students select particular colleges, and how they finance their education. Also included for the first time is a special section on graduate student finances. A brief review of how the Department is improving the delivery of student aid completed this seciton.

No attempt is made to determine the overall impact of Federal institutional aid on institutions. Detailed reports on the effectiveness of these and other particular institutional aid programs are available in the evaluation sections of the individual program chapters.

A Funding History of ED-administered Student Aid Programs

During the past six years, student aid appropriations for ED-administered programs have grown from $3.1 billion to $6.6 billion (Table 1). In terms of total dollars of aid actually available to students, $3.4 billion was available in 1976 compared with $11.8 billion in 1981. Largest program increases were recorded in the Guaranteed Student Loan Program, for which loan funds available grew from $1.2 billion to $7.8 billion (recipients grew from about 1.0 million to 3.5 million over the same period), and in the Pell Grant Program, which jumped from $1.4 billion in 1976 to $2.3 billion in 1981 (with 1.9 million and 2.7 million recipients, respectively). All other programs also increased during this period.

While total appropriations increased 102% from 1976 to 1981, median family income grew by only 50%. College costs grew at about the same rate as family income.

Table 1

ED Student Aid: History of Federal Appropriations
Amount of Aid Available to Students; and Recipients

	1976	1977	1978	1979	1980	1981
Appropriation ($ in millions)						
Campus-based:						
NDSL (FCC only)...	$ 321.0	$ 310.5	$ 310.5	$ 310.5	$ 286.0	$ 186.0
(TC/Loans)...	6.9	12.7	15.2	18.4	14.8	14.8
CWS	390.0	390.0	435.0	550.0	550.0	550.0
SEOG	240.1	249.6	270.0	340.1	370.0	370.0
SSIG................	44.0	60.0	63.8	76.8	76.8	76.8
Pell (BEOG)..........	1,325.8	1,903.9	2,160.0	2,431.0	2,157.3	2,604.0
GSL	807.8	357.3	480.0	958.0	1,609.3	2,535.5
TOTAL	$3,137.7	$3,283.7	$3,734.5	$4,684.8	$5,064.2	$6,079.1
Amount of Aid to Students ($ in millions)						
Campus-based:						
NDSL..............	$ 305.7	$ 295.7	$ 640.4	$ 553.0	$ 191.2	$ 553.0
CWS................	423.9	423.9	488.4	594.0	597.8	594.0
SEOG..............	230.5	240.1	266.2	361.0	355.2	361.0
SSIG................	88.0	120.0	127.5	153.5	153.5	153.5
Pell (BEOG)..........	971.7	1,795.4	1,561.0	2,504.0	2,047.8	2,346.0
GSL (Loan Vol.).....	1,462.0	1,537.0	1,958.0	2,984.0	4,840.0	7,762.0
TOTAL................	$4,263.2	$4,572.4	$5,046.9	$7,210.1	$8,960.1	$11,820.1
Recipients (Average Aid)						
Pell Grants	1,945,454 ($757)	1,863,990 ($852)	1,893,000 ($825)	2,537,875 ($987)	2,749,797 ($880)	2,700,000 ($868)
Supplemental Opportunity Grants	449,231 ($543)	499,034 ($489)	510,023 ($522)	595,268 ($559)	586,000 ($600)	586,000 ($600)
Work-Study	696,661 ($626)	845,272 ($555)	852,475 ($573)	922,621 ($646)	990,000 ($600)	990,000 ($600)
Direct Loans	764,591 ($712)	795,134 ($773)	808,616 ($792)	953,190 ($677)	870,000 ($700)	790,000 ($700)
State Student Incentive Grants	176,000 ($500)	240,000 ($500)	255,000 ($500)	307,000 ($500)	307,000 ($500)	307,000 ($500)
Guaranteed Student Loans	1,298,000 1/ ($1,408)	973,000 ($1,580)	1,085,000 ($1,805)	1,510,000 ($1,976)	2,314,000 ($2,091)	3,540,000 ($2,197)

1/ Includes Transition Quarter

SOURCE: U.S. Department of Education, OPBE

Participation Rates as a Measure of Access

One very broad measure of the impact of student assistance programs is to compare college-going rates by income level for the traditional college-going age cohort (18-24) over time and by income group. If rates of attendance are equalized across incomes, some argue, then full equity has been achieved. Examining only the funding levels for the assistance programs provides little information about how college-going opportunities for college-age youth have been changing, nor does it account for other factors. For example, attempting to increase enrollment rates for low-income or minority students by increasing available financial aid alone, may be offset entirely or partially by improvements in employment prospects for non-college educated individuals. Such a phenomenon would be most noticeable for students whose performance in college is predicted to be "marginal." More important, changes in enrollment rates among groups should be considered as a measure of equalizing the rates, i.e., are the differences in rates becoming larger or smaller? Tables 2 and 3 in this section compare overall rates and changes in the differences in the college-going rates.

Participation rates (Table 2) from 1976 to 1980 (1981 data are not yet available) for the college-age population (18-24) as a whole indicate a continuous trend downward to 1980. During that period, enrollment rates for males declined through 1979 and for females through 1978. Table 2 shows that while participation rates for the white subgroup displayed the same trend as the general population for both males and females, the rates for the non-white subgroups, however, displayed a different but consistent pattern: the rates for males fell from 1976 to 1980 in each case while the rates for females were in general consistent with the participation trend for the entire universe of students.

Table 2

Total Number and Percenta[illegible] 18- to 24- Year Olds Enrolled in College, By Sex, Race, and Spanish Origin (in Thousands) 1976-80

	All 1/			White			Black			Other 2/			Spanish Origin		
	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female
OCTOBER 76															
Pop	26919	13012	13907	23120	11279	11840	3315	1503	1813	484	230	254	1551	701	850
In College	7181	3673	3508	6276	3250	3026	748	331	417	157	92	65	310	150	160
% in college	26.7	28.2	25.2	27.1	28.8	25.6	22.6	22.0	23.0	32.4	40.0	25.6	20.0	21.4	18.8
OCTOBER 77															
Pop	27341	13218	14113	23440	11445	11995	3387	1528	1859	514	245	259	1609	754	855
In College	7143	3712	3431	6209	3286	2923	772	309	413	212	117	95	278	139	139
% in college	26.1	28.1	24.3	26.5	28.7	24.4	21.3	20.2	22.2	41.2	47.8	36.7	17.3	18.4	16.3
OCTOBER 78															
Pop	27647	13385	14262	23650	11572	12078	3451	1554	1897	546	259	287	1672	781	891
In College	6994	3621	3373	6077	3195	2882	695	305	390	222	121	101	254	126	128
% in college	25.3	27.1	23.7	25.7	27.6	23.9	20.1	19.6	20.6	40.7	46.7	35.2	15.2	16.1	14.4
OCTOBER 79															
Pop	27974	13571	14403	23895	11721	12174	3511	1577	1934	568	273	295	1754	837	917
In College	6990	3508	3482	6119	3104	3015	696	304	392	175	100	75	293	153	140
% in college	25.0	25.8	24.2	25.6	26.5	24.8	19.8	19.3	20.3	30.8	36.6	25.4	16.7	18.3	15.3
OCTOBER 80															
Pop	28130	13652	14478	23975	11767	12208	3555	1600	1955	600	285	315	1962	971	992
In College	7226	3604	3625	6334	3224	3110	688	278	410	204	102	105	315	154	160
% in college	25.7	26.4	25.0	26.4	27.4	25.5	19.4	17.4	21.0	34.0	35.8	33.3	16.1	15.9	16.1

1/ Students of other races are included in total for all students but are not listed separately.
2/ Includes students from families of Asian Heritage, American Indians, and other racial ethnic groups.

Source: Calculated from U.S. Bureau of Census, Current Population Reports, Series, P-20, Nos. 303, 319, 333, 346, 360, Table 1.

Table 3 presents the annual enrollment rates of primary or related family members enrolled in college from 1976 to 1980 by family income groups. During this period, there is a clear trend of declining rates in almost all income categories. However, while rates dropped from two to four percentage points for families with annual incomes of less than $15,000, they dropped more than 8 to 10 points for families in income categories above $15,000. The effect is to reduce the difference between the rates for high-income families relative to low-income families. The drop in overall enrollment may be due to economic factors; i.e., costs may be perceived to exceed the benefits of a college degree, while the reduction in the gap between high- and low-income families may be attributed, at least in part, to the availability of financial aid. The differences are not as substantial in non-white families, but the basic pattern was repeated as lower-income enrollment rates increased relative to higher-income levels.

Prior to 1980, falling enrollment rates could imply that society perceived long-term financial benefits from a postsecondary education to be less attractive than they once were. The additional student aid funds in 1980, however, effectively reduced the net price to a level such that the investment in a postsecondary education again appeared attractive to a substantial portion of the 18-24 age group. The condition of the economy may also have an influence upon that age group as larger numbers of students choose to remain in school because of reduced employment opportunities.

BEST COPY AVAILABLE

Table 3

PERCENTAGE OF 18-24 YEAR OLD PRIMARY FAMILY MEMBERS ENROLLED IN COLLEGE, BY RACE, SEX AND FAMILY INCOME

	All Races			White			Black			Other			Spanish Origin		
	Tot.	M	F	Tot.	M	F	Tot.	M	F	Tot.	M**	F**	Tot.	M	F
1976 Income															
N.R.*	27.6	29.6	26.6	29.4	30.0	28.8	10.6	10.1	11.1	41.8	60.9	26.1	22.2	26.2	19.3
0- 4,999	14.5	17.2	12.6	13.6	18.3	10.2	15.9	14.3	16.8	15.2	15.6	14.7	12.1	9.4	13.7
5,000- 9,999	15.1	17.1	13.5	14.7	17.1	12.7	17.5	17.3	17.8	14.5	14.3	14.3	15.2	16.9	12.7
10,000-14,999	21.4	22.6	20.4	20.0	21.4	18.8	32.2	31.9	32.5	32.4	19.2	39.6	25.2	28.9	22.9
15,000-19,999	32.8	33.1	32.5	32.1	32.2	32.0	37.1	35.4	39.2	54.3	63.6	30.8	41.2	39.6	42.9
20,000-24,999	44.1	41.8	46.4	43.6	41.4	46.0	50.1	52.1	64.4	31.4	33.3	30.4	34.3	30.6	38.7
25,000 +	55.2	52.9	57.9	55.3	53.1	58.1	59.5	61.6	65.1	36.1	42.1	29.4	43.8	40.0	53.8
All Incomes	26.7	28.5	25.1	27.3	29.2	25.4	22.9	22.5	23.2	29.7	34.1	26.0	20.4	22.4	16.9
1977 Income															
N.R.*	28.2	30.2	26.3	29.7	31.7	27.8	16.0	15.4	16.5	26.2	35.0	18.2	12.8	10.9	14.1
0- 4,999	13.0	14.4	12.1	12.4	14.4	10.8	13.7	13.3	13.9	24.1	30.8	18.8	10.0	12.6	8.3
5,000- 9,999	15.5	17.4	14.0	14.0	16.7	11.8	20.3	18.6	21.8	32.9	43.3	26.8	12.6	13.7	11.9
10,000-14,999	18.3	20.4	18.4	16.5	19.7	17.4	25.2	25.3	25.0	29.2	25.0	32.5	15.8	16.7	15.7
15,000-19,999	26.4	27.2	25.7	25.9	26.9	25.0	29.2	27.4	30.5	46.5	46.4	46.7	32.1	33.8	30.2
20,000-24,999	36.2	40.1	36.3	38.1	40.5	35.5	36.1	29.3	40.3	51.4	41.2	61.1	36.5	36.4	36.6
25,000 +	54.4	54.0	55.3	54.6	54.3	54.9	48.9	40.0	62.9	64.7	63.0	66.7	46.3	48.6	43.5
All Incomes	26.1	28.4	24.1	26.7	29.3	24.3	21.0	19.9	21.8	36.0	40.9	31.7	16.9	18.2	15.6
1978 Income															
N.R.*	28.7	29.5	27.9	29.1	30.0	28.3	24.1	21.4	26.3	35.4	52.4	22.2	14.3	6.1	19.5
0- 4,999	13.1	16.6	10.8	12.6	16.5	9.8	13.7	16.2	12.2	18.4	26.1	11.5	8.5	11.3	6.5
5,000- 9,999	15.1	17.2	13.4	13.8	16.2	11.8	17.9	17.8	17.9	31.5	36.0	25.9	8.5	8.2	8.6
10,000-14,999	16.1	19.6	17.3	17.8	19.4	16.3	21.5	19.6	23.1	29.7	32.1	27.8	18.2	20.4	16.2
15,000-19,999	23.3	25.1	21.7	23.0	25.2	21.1	21.8	17.1	25.6	50.8	68.2	45.5	22.1	29.2	16.0
20,000-24,999	32.6	32.9	32.2	32.3	33.2	31.4	34.9	25.3	46.3	39.0	42.9	35.5	25.4	25.6	25.0
25,000 +	48.1	47.0	49.6	48.4	47.4	49.6	41.8	35.2	50.0	48.5	51.7	46.2	47.4	51.9	43.3
All Incomes	25.6	27.7	23.8	26.2	28.5	24.1	20.4	19.7	20.9	36.8	43.3	31.2	14.9	16.2	13.9
1979 Income															
N.R.*	27.1	28.0	26.2	28.0	28.9	26.8	18.6	16.8	20.1	42.4	42.9	41.7	8.9	8.7	9.1
0- 4,999	12.1	14.0	10.8	11.5	11.9	11.2	12.2	17.7	10.3	16.3	28.1	7.7	15.6	18.6	13.8
5,000- 9,999	14.7	14.6	14.8	14.9	14.4	13.6	16.1	14.5	17.5	22.4	20.9	23.6	10.0	9.8	10.2
10,000-14,999	16.1	17.2	15.3	15.0	16.6	13.8	17.5	17.2	23.0	35.7	45.5	29.4	15.7	17.5	14.1
15,000-19,999	22.7	24.1	21.6	22.1	23.3	21.1	26.3	30.1	23.3	32.8	32.3	33.3	21.7	30.7	11.5
20,000-24,999	28.2	26.4	30.0	27.7	26.0	29.2	32.4	24.6	11.3	34.6	54.2	17.9	19.5	18.6	20.5
25,000 +	45.5	44.3	47.0	45.7	44.6	47.0	36.3	25.0	46.3	61.1	72.7	51.3	40.3	42.9	37.7
All Incomes	25.2	26.3	24.2	25.9	27.1	24.8	19.9	19.0	13.6	31.2	37.2	25.8	16.4	19.1	14.1
1980 Income 3/															
N.R.*	31.3	33.3	29.2	33.4	35.7	31.0	14.6	14.3	14.9	21.2	16.7	23.8	1.9	3.6	0.0
0- 4,999	12.3	14.0	11.2	12.2	14.8	10.3	12.4	11.6	12.8	12.0	21.7	3.7	8.1	11.6	5.6
5,000- 9,999	12.6	11.7	13.8	11.8	11.2	12.3	14.1	9.4	17.7	22.8	31.3	18.3	13.3	7.8	12.3
10,000-14,999	16.7	17.4	16.0	15.4	16.9	14.7	22.0	18.3	25.4	26.9	36.7	20.8	15.4	11.9	19.5
15,000-19,999	22.7	22.7	22.6	21.1	22.0	19.9	28.7	23.7	33.5	53.5	45.2	60.0	21.8	25.0	18.7
20,000-24,999	26.3	26.7	26.0	26.0	26.7	25.3	28.0	24.5	31.1	41.2	35.3	47.1	18.0	23.0	13.5
25,000 +	45.7	44.7	46.7	46.0	45.2	46.9	40.1	31.5	50.0	45.0	46.8	43.5	41.8	48.3	36.1
All Incomes	26.2	27.1	25.4	27.1	28.4	25.9	19.7	16.9	21.9	34.1	36.4	32.5	16.5	17.6	15.5

*Income not reported
**Based on differences. Small numbers in individual income classes may cause large variations in percentage.
3/ Preliminary Estimates

SOURCE: Calculated from U.S. Bureau of Census, Current Population Reports, Series P-20, Nos. 319, 333, 346, 360.

College Choice and Student Aid [1]

Unfortunately, recent data on why students decide to attend college are not available. However, some information is available in the Cooperative Institutional Research Program (CIRP) from 1978 to 1981 as to why students select a particular school and how they view student aid in making a choice.

One of the questions asked in the CIRP studies was to identify the reasons a student selected a particular college. Three reasons given as very important in the selection were "offered financial assistance," "has low tuition," and "has a good academic reputation." The trend in the response to these items is shown in Tables 4, 5, and 6.

Over this four-year period, the importance of financial aid as a college choice determinant first increased slightly from 14.5% to 16.2% and then fell back in 1981 to 15.4%. In the predominantly black public colleges, which have traditionally had low tuition and living costs, it was 27.5% in 1978 and 30.6% in 1981. The wider availability of aid may have had a significant impact, which was reflected in the initial rise.

---

[1] Most of the data used in this overview are from the Cooperative Institutional Research Program sponsored by the American Council on Education and the University of California at Los Angeles, and pertain only to first-time, full-time dependent students. Unfortunately, these are the only current longitudinal data available. However, they are consistent with data collected for all students by the National Institute of Independent Colleges and Universities in 1982 and Applied Management Sciences in 1978 and 1979. While there is a high assurance that the data provide valid comparisons of trends, magnitudes, and ratios, caution is advised in using actual dollar amounts because the data are collected using ranges, and it has been necessary to use median points for each range. However, since the data are for all periods and groups and are treated in the same manner, both time and cross-section comparisons can be used as valid indicators of change.

Table 4

Percent Responding "Offered Financial Assistance"

	All Inst.	4 Yr. Coll.	Universities			Predominantly Black Colleges		
			All	Public	Private	All	Public	Private
1978	14.5	19.0	12.8	9.3	24.7	27.5	26.4	29.5
1979	15.9	20.4	13.0	10.3	22.9	31.4	29.6	35.8
1980	16.2	20.9	14.1	10.9	25.0	30.2	28.1	35.7
1981	15.4	19.4	12.8	9.7	24.1	30.6	30.3	31.4

SOURCE: CIRP 1978-1981

Table 5

Percent Responding "Has Low Tuition"

	All Inst.	4 Yr. Coll.	Universities			Predominantly Black Colleges		
			All	Public	Private	All	Public	Private
1978	16.8	13.9	14.4	17.8	2.6	18.9	22.1	13.0
1979	16.6	13.1	14.2	17.6	1.7	18.8	22.2	10.3
1980	17.0	13.0	13.9	17.2	2.0	19.1	22.5	10.1
1981	17.7	14.1	14.2	17.5	1.8	23.9	28.5	10.2

SOURCE: CIRP 1978-1981

A similar trend is shown in Table 5 by the rise in percentage of students selecting a school because it had low tuition. The trend in predominantly black public and private institutions from 1978 to 1981 is striking. The data suggest that the low cost of public institutions has become a more important factor when compared with costs in private colleges even though aid availability has increased over the four-year period. This is somewhat consistent with findings noted later (Table 10) which indicates students increasing their use of loans while family support has been reduced.

Over the total population and also over sub-populations (e.g., white, black), low tuition and offers of financial assistance are more important to students from low-income families: 30% of the students from families with less than $4,000 gave this response compared with 3% of those from families with incomes in excess of $10,000. The response to "has low tuition", indicates that for students from families with up to about $30,000 income, the percentage responding is about 22% and falls steadily to about 5% at $100,000 and up. Similar trends are observable back to 1978. This suggests that the cost problem is quite real for a substantial number of families considered "middle income."

Another contrast may be obtained by comparing the percentage responding to the reason for attendance with "has a good academic reputation." Table 6 shows the trend for all institutions and for predominantly black colleges.

Table 6

Percent Responding "Has a Good Academic Reputation"

	1978	1979	1980	1981
All Institutions	50.7	49.1	50.8	53.0
Predom. Black Colleges	50.4	46.6	45.4	45.8

SOURCE: CIRP 1978, 1981

It appears that the gap between all institutions and predominantly black colleges has widened steadily over this time period, suggesting that a lower-income segment of the population is being restricted in selection to lower-cost schools, or to schools that provide aid, instead of giving greater weight to academic considerations in its decisions.

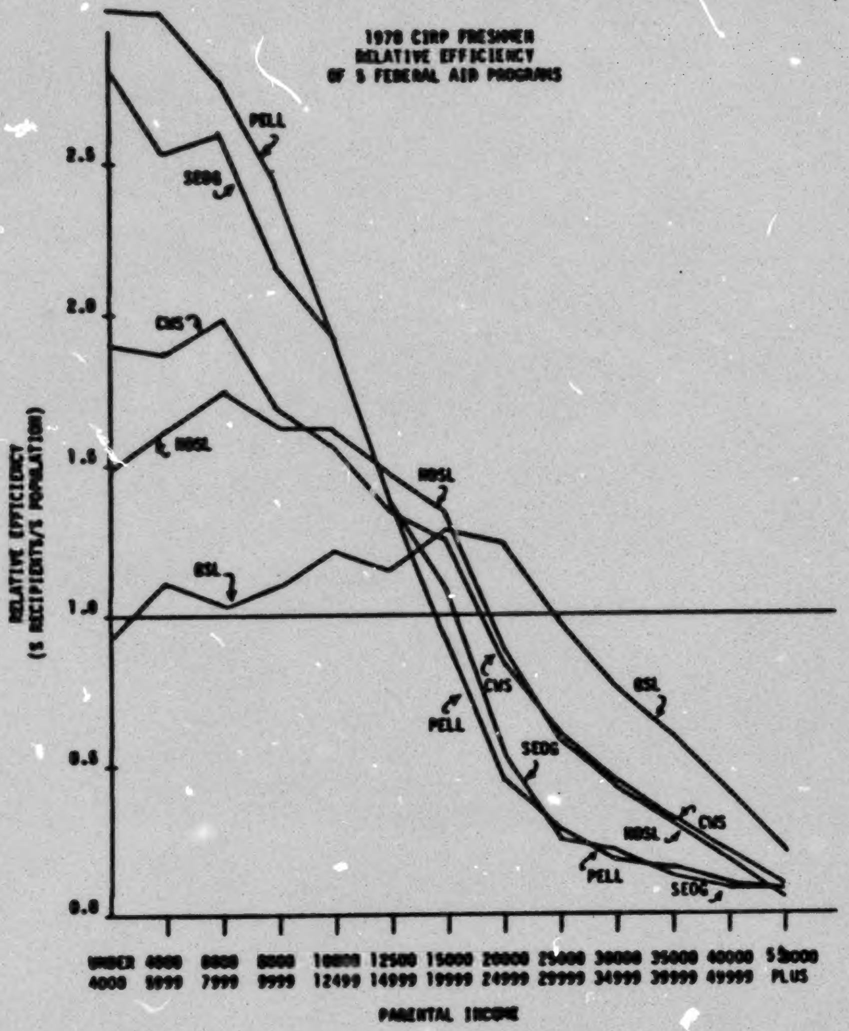
Federal Program Participation and the General Population

If Federal student aid program funds are being distributed to equalize opportunity, participation rates in Federal student aid programs should vary with annual family income. The annual freshman survey of the Cooperative Institutional Research Program records parental income by fourteen classes and, for each class, the total population and aid-recipient population may be determined. Instead of using the participation rates by income group alone, we shall use a measure of relative efficiency. This is defined as the ratio of the student Federal aid participation rate in an income class divided by the overall population participation rate for postsecondary education. (An equivalent definition is the ratio of the percentage of recipients in an income group to the percentage of the postsecondary population in that income group.) Using the relative efficiency ratio as defined is, in effect, a normalized participation rate and thus, can be used to determine how effective the program is in meeting the goal of providing aid and providing it to those in greatest need. Thus, a score of 1.0 indicates that the aid participation rate is equal to the population rate. A score above 1.0 implies greater participation in aid for that income group.

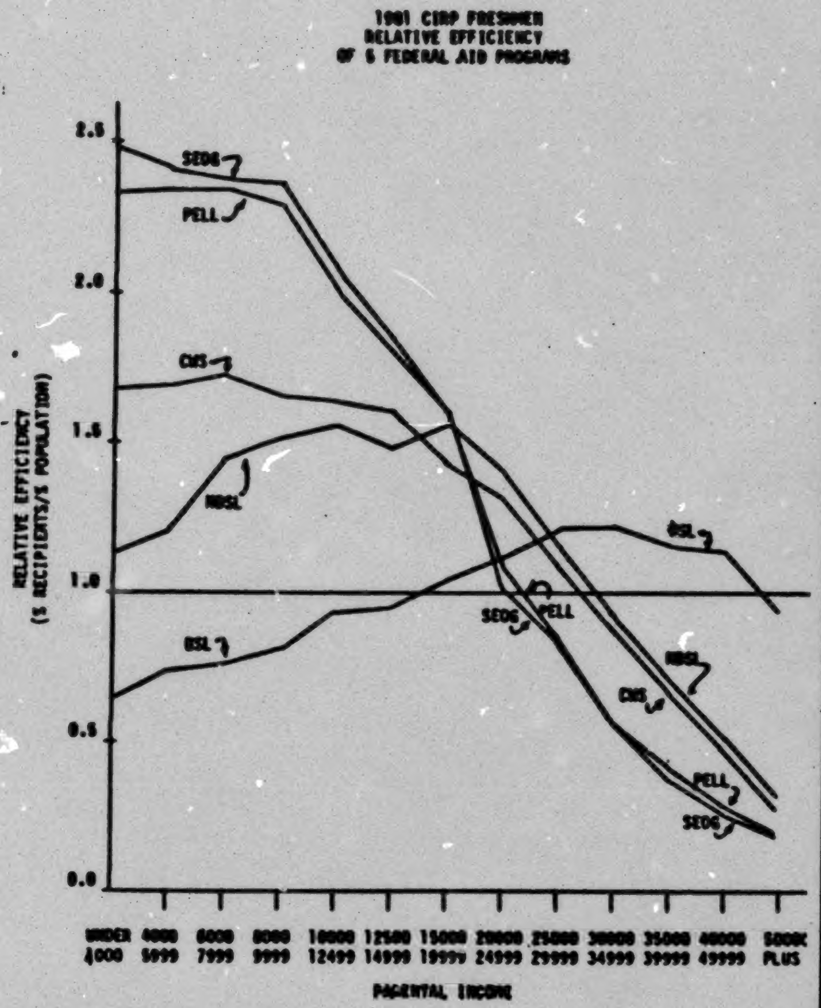
Graphs 1 and 2 show the relative participation ratios for 1978 and 1981 freshmen for five Federal programs: 1) Pell Grant Program (Pell), 2) Supplemental Educational Opportunity Grant Program (SEOG), 3) College Work Study Program (CWS), 4) National Direct Student Loan Program (NDSL), 5) Guaranteed Student Loan Program (GSLP).

A COMP[illegible]SON OF CIRP FRESHMEN PARTICIPA[illegible]N IN ED-ADMINISTERED STUDENT AID PROGRAMS 1978, 1981

GRAPH 1



GRAPH 2



SOURCE: U.S. Department of Education, Cooperative Institutional Research Program Data Files 1078-1981

Overall, there has been a downward shift in the ratio for all programs from 1978 to 1981 at the lower income levels, and an upward shift of the ratio at the higher income levels. In other words, a larger percentage of students from high income groups were receiving federal assistance in 1981 compared with 1978. The reverse is true for students from low-income families. The use of ratios also allows for comparing how funds are distributed by program. For example, the SEOG program, considered part of the Campus-based Aid Programs (SEOG, NDSL, and CWS), is much closer to the Pell Grant Program in income sensitivity (i.e., higher participation rates for low-income students). NDSL and CWS ratios are less sensitive, with the NDSL program, at lower income levels, paralleling the GSL Program which is the least income-sensitive.

Another approach is to compare the median income level (and changes over the period) for each program. Table 7 indicates that in 1981-82, for all programs but the Guaranteed Student Loan Program, the median income of aid awarded to those program participants is less than the median income for college students. Grants are furthest from the population median. Since these programs were intended for lower-and lower-middle income students, this pattern confirms that equity packaging (i.e., aid is distributed on the basis of financial need) is generally functioning. The Guaranteed Student Loan Program, designed primarily for middle-income and upper-middle-income recipients, in fact disbursed large amounts to those with incomes above the median. However, it appears to be important to all income groups as the median income for recipients is only slightly above the mean. What is most striking is the shift in median income levels for all program recipients between 1978 and 1981. Graphs 1 and 2 show that all five programs have had a marked increase in participation by higher-income groups relative to lower-income groups. Table 7 is even more specific, indicating that GSLP and NDSL had dramatic shifts in median income levels of participants compared with the median income of all students (12.5% for GSLP above the median and 6.1% for NDSL) and in participation rates -- especially in GSLP (from 10.9% to 27.8%). Except for SEOG and CWSP, this is not simply an inflation effect, because any adjustments in income levels would simply change the horizontal scale in Graph 1 and 2, while the change referred to here is seen as both shifting and rotation of these curves. (See program summaries for more details on the income effect by program.)

Table 7

Median Income and Federal Aid Program Participation Rates (%)
for All Students and Program Recipients:
1978, 1981 First-time, Full-time Students

	1978		1981		
All Students/ Program	Median Income	Prog. Part.	Median Income Part.	Prog. Part.	Median Income Percent Increase 1978 to 1981
All Students	$19,730	39.8	$25,360	53.4	28.5%
Pell Grant	$11,274	22.2	$14,983	26.8	32.9%
SEOG	$11,900	5.9	$14,436	6.0	21.3%
CWS	$14,449	11.8	$18,575	12.8	28.6%
NDSL	$14,817	8.5	$19,906	8.1	34.3%
GSL	$18,303	10.9	$25,735	27.8	40.6%

SOURCE: CIRP 1978, 1981

Joint Participation by Source of Aid

The existence of multiple aid programs also raises the question of duplication of aid to eligible students. In evaluating the effect of student assistance programs in terms of recipients, it is not sufficient to add program participation together because of this duplication. This can be shown in terms of a conditional probability of receiving one form of aid; Federal, State, and institutional, given that another is also received. 1981 freshman data from CIRP show how these three sources overlap as a function of parental income. Table 8 presents conditional probabilities of overlap, i.e., given that the student receives aid from one source, what is the chance that the second source is also received.

Table 8

Conditional Probabilities (%)
of Aid Sources by
Parental Income
1981

Income	0-5,999	6,000-14,999	15,000-24,999	25,000-39,999	40,000 AND UP	TOTAL POPULATION
Given Source/ Alternate Source						
Federal/State	25.4	28.1	22.7	12.7	6.5	19.9
Federal/Institution	15.4	15.0	14.6	10.0	6.5	12.6
State/Federal	90.7	86.7	76.1	60.2	41.4	75.1
State/Institution	23.7	21.4	19.9	17.2	13.8	41.1
Institution/Federal	86.7	82.9	68.4	45.7	30.3	69.0
Institution/State	37.3	38.3	27.9	16.7	10.1	28.4

SOURCE: CIRP, 1981

It will be observed that even at very high income levels, participation in State aid programs usually coincides with participation in Federal aid programs. For students in the over $40,000 income group, there is a 41.4% chance that, given State assistance, Federal assistance will also be available. Institutional aid also has a high correlation with Federal aid: 45.7% at income levels up to $40,000 and 30.3% at levels above this. The chances, however, of obtaining State and institutional aid, given Federal aid, are 19.9% and 12.6%, respectively. Federal aid frequently occurs as the primary source of assistance even among the lowest income group ($0-5,999). Only one-quarter of federally assisted students in this income group received State aid and less than one-sixth received institutional aid.

CIRP reports that institutional aid programs are reaching in excess of one in ten students, while one in eight receives some form of State aid. The number of Federal recipients plus State recipients plus institutional recipients is larger than the actual number of aided students because so many of the State and institutional cases are already counted in the Federal subset. Overall, it is estimated from CIRP that close to 60% of all first-time, full-time students receive some form of State, Federal, or institutional aid.

How Students Finance Their Education

Discussion to this point has been focused on overall participation rates in various Federal programs. Details on participation, by cost of college and by family income for each program, may be found in the program summary sheets. Table 9 presents a summary of how students finance their education

Table 9

A COMPARISON OF HOW FIRST-TIME, FULL-TIME STUDENTS FINANCE EDUCATIONAL COSTS - THROUGH LOANS, GRANTS, AND FAMILY, BY INCOME CLASS: 1978, 1981

		1978		1981		1978-81
INCOME GROUP	SOURCE	DOLLARS	PERCENT TOTAL	DOLLARS	PERCENT TOTAL	PERCENT CHANGE IN DOLLARS
LESS THAN $9,999	GRANT	1294	39.0	1238	29.8	(4.3)
	LOAN	269	8.1	490	11.8	82.2
	FAMILY	1746	53.8	2429	58.4	39.1
	ALL	3309	100.0	4157	100.0	25.6
$10,000 to $14,999	GRANT	952	28.7	1029	24.0	8.1
	LOAN	332	10.0	646	15.1	94.6
	FAMILY	2039	61.3	2611	60.9	28.1
	ALL	3323	100.0	4286	100.0	29.0
$15,000 to $24,999	GRANT	599	17.9	709	16.3	18.4
	LOAN	398	11.9	787	18.1	97.7
	FAMILY	2344	70.2	2861	65.6	22.1
	ALL	3341	100.0	4357	100.0	30.4
$25,000 to $29,999	GRANT	396	11.7	520	11.7	31.3
	LOAN	398	11.8	891	20.0	123.9
	FAMILY	2590	76.5	3042	68.3	17.5
	ALL	3384	100.0	4453	100.0	31.6
$30,000 or MORE	GRANT	247	6.7	339	6.9	37.2
	LOAN	225	6.1	799	16.3	255.1
	FAMILY	3222	87.2	3773	76.8	17.1
	ALL	3694	100.0	4911	100.0	32.9
TOTAL	GRANT	569	16.4	634	13.9	11.4
	LOAN	316	9.1	755	16.6	138.9
	FAMILY	2517	74.5	3170	69.5	25.9
	ALL	3462	100.0	4554	100.0	31.7

using three major sources of aid: grants, loans, and family. Included under "family" are parent and student savings, all student work, parents' contribution, and all other family sources. Data are presented for 1978 and 1981 for first-time, full-time students by mean amount, percent of total costs, and the change over the period. It should also be kept in mind that median family income for comparable students increased by 28.5% over the same period.

It can be seen that the cost of education (all sources) increased by almost one-third, family contribution by one-quarter, grants by almost one-eighth, and loans by over one and one-third. However, when the data are grouped by family income we find family contributions for those below $15,000 matching increased costs, while those from families with incomes above $15,000 are not meeting these increased costs. [2] Loans as well as grants from all sources increased at greater rates for those at the higher income levels, compared with those at lower incomes, due primarily to the increases observed above for Federal loan and grant programs.

When viewed from the perspective of college costs and family income (Table 10 and Graph 3), student costs as a percent of median family income dropped over four years and then rose again during the 1980 and 1981 period. These trends are very clear in private institutions, and they are also discernible in public institutions. Thus, while a family may be willing to contribute more, financial conditions may not permit it. Why education cost inflation should have begun to outstrip family income inflation in the last few years is not certain, although it is possible that the increased

---

[2] There is one exception. For students from families with incomes of $15,000 to $30,000, attending colleges with costs in excess of $5000, families matched the increase in costs.

Table 10

Median Family Income By Racial/Ethnic Group and Student Charges By Type and Control of Institution

1976-1981

	YEAR 1/					
Item	1976	1977	1978	1979	1980	1981
Median income of						
All families	$14,958	$16,009	$17,640	$19,661	$21,023	$22,388
White families	15,537	16,740	18,368	20,502	21,904	23,517
Black families	9,242	9,563	10,879	11,644	12,674	13,266
Hispanic families 2/	10,259	11,421	12,566	14,569	14,716	16,401
Average student charges 3/						
Universities:						
Public	$ 2,055	$ 2,167	$ 2,286	$ 2,487	$2,711	$ 3,079
Private	4,847	5,193	5,604	5,888	6,566	7,439
Other 4-year institutions:						
Public	$ 1,797	$ 1,924	$ 2,025	$ 2,198	$2,420	$ 2,701
Private	3,562	3,811	4,123	4,699	5,249	5,949
2-year institutions:						
Public	$ 1,488	$ 1,590	$ 1,685	$ 1,821	$2,020	$ 2,217
Private	2,905	3,062	3,344	3,775	4,290	4,840
Average student charges as percent of median income for all families for:						
Universities:						
Public	13.7	13.5	13.0	12.6	12.9	13.8
Private	32.4	32.4	31.8	29.9	31.2	33.2
Other 4-year institutions:						
Public	12.0	12.0	11.5	11.2	11.5	12.1
Private	23.8	23.8	23.4	23.9	25.0	26.6
2-year institutions:						
Public	9.9	9.9	9.6	9.3	9.6	9.9
Private	19.4	19.1	19.0	19.1	20.4	21.6

1/ Median income is for calendar year. Average student charges is for the academic year beginning in fall of the year indicated.

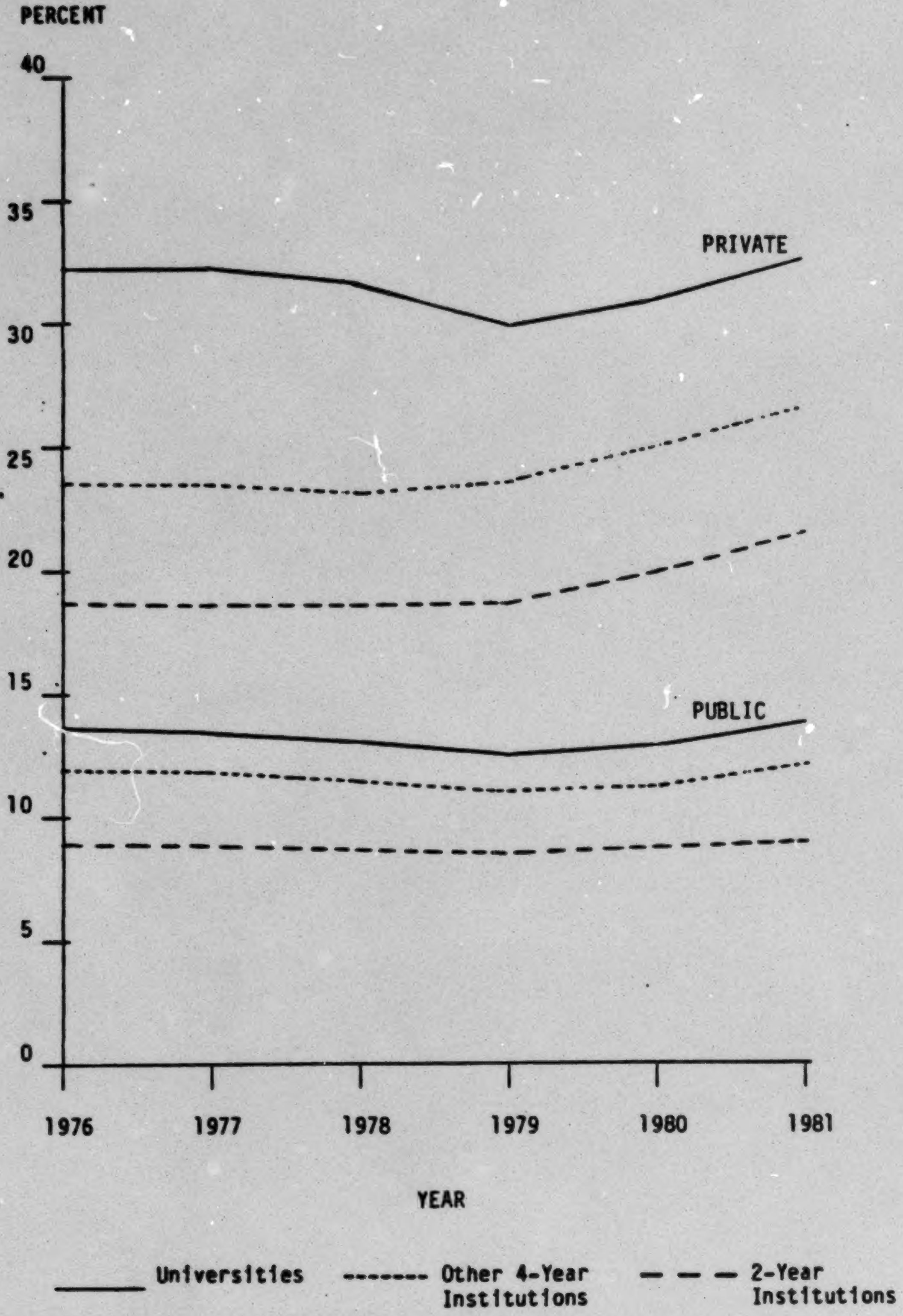
2/ Represents families in which the head is of Hispanic origin.

3/ Estimated average charges per full-time undergraduate student. Includes tuition, board and room charges.

SOURCE: U.S. Department of Commerce, Bureau of the Census, Current Population Reports, Series P-60, No. 123, 1980 and U.S. Department of Education, National Center for Education Statistics, Digest of Education Statistics 1982

GRAPH 3

STUDENT CHARGES AS A PERCENT OF MEDIAN FAMILY INCOME



SOURCE: Table 10

availability of student aid through the Middle Income Student Assistance Act may have been a factor in the increase in school costs, in that delayed increases in tuition could not be effected without penalizing needy students 3/, while the general weakness of the economy prevented family income from keeping pace. It will be another year, at least, before it can be determined whether changes in Federal programs, most notably the Guaranteed Student Loan program, produce any significant rollback in educational costs or whether parents will provide a larger share of student costs.

It may be of interest to note that while families contributed 5% less of the total cost of education in 1981 than in 1978, they still financed 70% of the total cost for first-time, full-time students. In dollar terms, this amounted to $3,170 per student in 1981 which is an increase of 25.9% since 1978. Over the same period, median family income of first-time, full-time students increased by 28.5%. 3/

One final measure of equity in the distribution of student aid is to compare the student burden (work and loans) to finance educational costs, by college cost and family income groups. Data for 1978 as well as earlier Annual Evaluation Reports show that both the level and the relative share of costs for which the student is directly responsible have been generally equal for family incomes from $10,000 to $30,000 when adjusted for cost of education (Table 11). In 1981, the range of burden for those in the $10,000 to $30,000 family income group grew considerably. Where the differences in the burden for students from these income groups had been modest ($100 in 1978, $150 in 1981) they ranged from $150 to $375 and, when viewed as a percentage of cost, in most instances the relative burden also doubled.

3/ Student tuition and fees seldom cover all educational costs. Institutions rely on gifts, endowments, States and other funding sources to make up the difference. In effect, both public and private institutions charge what they feel students can afford.

In both 1978 and 1981, students with higher educational costs had larger burdens. As a rule, the burden in dollar terms increases with higher education costs although, as a percent of costs, it generally falls somewhat. In relative terms, over the 1978 to 1981 period, the most dramatic increase in burden from $1,302 to $2,031, or over 50%, occurred in the group with educational costs above $5,000.

Table 9 above indicated that loans made up the largest expanded source of revenue for the increasing student burden for first-time, full-time students. During this period, student loans as a percentage of cost increased from 9.1% (mean of $316) to 16.6% (mean of $755). Costs financed through earnings from work during this same period increased from $624 to $634 for first-time, full-time students. However, as a percentage of cost it fell from 28.7% to 24%; 2% fewer students worked. Average work earnings for both years made up a greater portion of the source of funds for students in low-cost schools (35-36%), compared to students in high-cost schools (18-19%), although earnings for students in high cost schools were 50% greater ($859 compared with $521) in 1981 (Table 12).

Table 11 also provides a detailed look at the work-loan burden and burden-to-cost ratios, adding cost of education to the analysis. Perhaps the most significant factor in Table 11 is the difference in equity from 1978 to 1981 for the $10,000 to $30,000 family income groups. While income equity appears to have been maintained, i.e., equal burden to cost ratios regardless of the cost of education, cost equity (i.e., larger difference in student burden by income group in 1981) is widening as students in 1981 were asked to carry an even larger share of the cost of education by both their parents and the institutions.

Table 11

Comparison of Total Student Work and Loans by Family Income and Cost of Education 1978, 1981

Student Burden 1978

---FAMILY INCOME---

Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,000 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	554.	665.	791.	780.	700.	712.
	RATIO	21.92	26.04	30.74	30.11	26.78	27.62
3001-5000	AVG $	844.	1041.	1190.	1195.	865.	1024.
	RATIO	23.91	29.69	34.17	34.59	24.85	29.39
5001+	AVG $	1355.	1537.	1656.	1666.	1021.	1302.
	RATIO	24.07	27.23	29.23	29.15	17.40	22.55
TOTAL	AVG $	739.	913.	1069.	1088.	846.	940.
	RATIO	23.14	27.99	32.26	32.29	22.97	27.41

Student Burden 1981

---FAMILY INCOME---

Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,000 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	587.	758.	866.	912.	794.	793.
	RATIO	23.82	29.46	33.22	34.21	29.84	30.42
3001-5000	AVG $	940.	1217.	1457.	1587.	1451.	1385.
	RATIO	23.92	30.65	36.42	39.37	35.74	34.49
5001+	AVG $	1758.	1969.	2195.	2327.	1949.	2031.
	RATIO	26.68	29.67	32.65	34.00	26.29	28.77
TOTAL	AVG $	1005.	1278.	1501.	1635.	1506.	1439.
	RATIO	24.73	30.17	34.77	36.93	30.80	31.81

AVG - Total all work and loans/all students in cell
RATIO - Total all work and loans per student in cell/cost of education

SOURCE: U.S. Department of Education, Cooperative Institutional Research Program Data Bank 1978-1981

While limited evidence is available for Fall 1982, it can be hypothesized that the increased work/loan burden placed upon students, and with the reduction in non-returnable aid, students will shift enrollments to lower-cost public and private institutions. In fact, enrollments in two-year institutions grew 4.2% in 1981 compared with 1.8% in four-year colleges and no change in universities. 4/ It is also possible that as more and more students from higher income families move to lower cost institutions, the number of aid recipients and the amounts awarded may fall as relative need will in fact be less.

Table 12
FALL 1980 CIRP FIRST-TIME, FULL-TIME DEPENDENT FRESHMEN

STUDENT EARNINGS FROM ALL SOURCES
PERCENT STUDENTS WORKING
WAGES AS A PERCENT OF COST

YEAR		LESS $9,999	$10,000 $14,999	$15,000 $24,999	$25,000 $29,999	$30,000 AND UP	ALL INCOME GROUPS
1978	AVG.	$ 470	$ 581	$ 672	$ 690	$ 621	$ 624
	PART.	58.4	66.3	70.4	69.0	60.5	64.9
	RATIO	25.2	26.9	28.8	29.7	27.9	28.0
1981	AVG.	$ 514	$ 632	$ 715	$ 744	$ 707	$ 684
	PART.	57.2	64.2	67.1	67.5	60.0	62.9
	RATIO	22.1	23.2	24.7	24.9	24.1	24.0

AVG : Total all work earnings/all students in group
PART : Total all students working/all students in group
RATIO: Work earnings per student/cost of education

SOURCE: CIRP etc., 1978, 1981

4/ U.S. Department of Education, National Center for Education Statistics, Fall 1981 Enrollment Survey.

Student Social Security Income and Student Veterans Benefits

No discussion of the Federal role in providing student assistance would be complete without some mention of the role of two rather significant Federal student assistance programs not administered by ED: Student Social Security benefits and Veterans' student benefits.

Table 13 outlines briefly the outlays for each program over the past several years. Although Social Security benefits show an increase, beginning with Academic Year 1982-83, benefits are to be available only to those students who have participated in previous academic years. Thus few, if any, benefits will be available for first-time students in academic year 1982-83. Veterans' benefits are also in a phase-down period as fewer students qualify each year.

Table 14 shows who benefits by family income, the average award per recipient, and the average dollar amounts for all students by family income group and for student Social Security and Veterans Benefits. The latter provides a crude measure of the importance of student Social Security benefits as a means of financing educational costs. Both programs have higher participation rates for low-income students, matching in large part Pell Grant distributions. In Fall 1981, 6% of all first-time, full-time students received Social Security Benefits compared with 1.6% for veterans or their children. As a source of revenue, for all students, both have limited impact ($57 and $17 for all students; however, recipients in each program received an average amount of about $1,000 per year. Finally, while the median income for all full-time, first-time college students in 1981 was $28,400, the median income for Social Security recipients was $13,700 and was $17,900 for recipients of student Veterans' Benefits.

Table 13

Social Security and Veterans Benefits - Outlays
1964-1981 Selected Years
(in billions of dollars)

	Fiscal Years						
	1964	1970	1974	1976	1978	1980	1981
Social Security	-	.4	.8	1.1	1.4	1.7	2.0
Veterans	.1	.8	3.2	5.5	2.8	1.9	1.9
TOTAL	.1	1.2	4.0	6.6	4.2	3.6	3.9

SOURCE: Office of Management and Budget

Table 14

Social Security and Veterans Benefits Recipients

By Family Income 1981

	Family Income Group					
Program	1 - 5,999	6,000 14,999	15,000 24,999	25,000 39,999	40,000 AND UP	ALL INCOME GROUPS
S.S. Benefits						
%	17.2	12.9	5.8	2.8	2.10	6.0
Recp.	$ 737	$ 897	$1036	$1106	$1125	$ 946
Avg.	$ 127	$ 114	$ 60	$ 31	$ 23	$ 57
GI - Students						
%	3.6	3.0	1.7	0.9	0.9	1.6
Recp.	$ 756	$ 946	$1068	$1131	$1259	$1042
Avg.	$ 27	$ 28	$ 18	$ 11	$ 11	$ 17

% - Percent of all first time full time students receiving assistance
Recp.- Amount per recipient per year
Avg. - Average all students in income group attending college

SOURCE: CIRP 1981

How Graduate Students Meet Educational Costs

The distribution of resources used to finance higher education shifts markedly between undergraduate and graduate students. In a survey of financial aid applicants, the Educational Testing Service attempted to illustrate the differences between college seniors, first-year post-graduates and continuing post-graduates. Although the sample was drawn only from applications for financial assistance and therefore does not cover the class of self-sufficient students, it is useful in showing how aided-student resource profiles do change.

The study summarizes, for various sources of funds, the number of recipients and average amount per recipient. With procedures used in analysis of freshman aid profiles, this has been converted into an average dollar amount per student in the sample. The sum over all sources then represents the average dollar resource per student, and the percentage distribution over different aid types is then easily calculated.

Table 15 compares undergraduate seniors, first year graduates and continuing graduates. In the survey, Educational Testing Service included Veterans Benefits and Social Security as separate sources for graduate students but did not separate them for seniors. However, this appears to be a relatively small discrepancy as these sources contribute only about 1%. The first part of the table shows, for individual resource items, average dollar amounts and participation rates; the second part shows resources grouped by type; the third, how these are distributed over the total resources.

The most striking factor of these tables is the huge shift to loans as a source of funds. Seniors depend on this for only 13.9% of their financing but graduates use it for 41.2% (first year) and 43.2% (continuing) of their resources. The Guaranteed Student Loan program is almost six times as important for graduates as for seniors ($2216 and $2273 average GSL vs. $383). The drop in grant aid from 24.5% (seniors) to 11.3% and 11.0% is partly due to the loss of Pell grants and Supplementary Educational Opportunity grants, although the Federal contribution, which includes National Direct Student Loan and Guaranteed Student Loans, does rise significantly for graduates (35.9% and 34.6% vs. 25.5%). Participation rates show the same effect, with loan participation nearly doubling for graduates.

Two other points should be noted. Graduate students are far less likely to receive parental aid than seniors (24.6% and 23.1% versus 59.9%). This is at least partially due to the fact that graduate students tend to be older and more independent - only 37% of first year graduates and 31% of continuing graduates were listed as dependents in the survey - so that the apparently low parental participation is understandable. Secondly, although graduate students are not eligible for Pell grants or Supplementary Educational Opportunity grants, other forms of aid raise the fraction of resources covered by the Federal government from 25.5% for seniors to 35.9% and 34.6% for first-year and continuing graduates, respectively, due to high participation in Federal loan programs.

Table 15
Distribution of Financial Resources for Seniors, First Year Graduates and Continuing Graduates[1]
(amounts in dollars per student)

Source	Seniors		First Year Graduate		Continuing Graduate	
	Amt.	% receiving	Amt.	% receiving	Amt.	% receiving
Major Programs						
CWS	$ 212	23.0	$ 253	18.3	$ 327	21.4
NDSL	239	24.7	758	39.6	898	43.3
GSL	383	20.9	2216	57.1	2273	57.5
Pell	405	45.9	4/		4/	
SEOG	87	13.4	4/		4/	
VA	2/		103	3.4	82	2.0
Soc. Sec.	2/		15	0.9	7	0.3
Parental Contribution	1368	59.9	429	24.6	429	23.1
Savings	406	38.7	1131	61.6	571	41.9
Major Source of Aid						
All Grants	$ 1272	65.6	$1057	51.2	$ 1134	51.2
All Work	808	54.9	1255	51.0	1790	60.7
All Loans	722	45.9	3849	87.2	4440	83.4
All Other	2396 3/		3183 5/		2910 5/	
Total Resources	$ 5198		$9344		$10274	
Percent of all Aid						
% Grant	24.5		11.3		11.0	
% Work	15.5		13.4		17.4	
% Loan	13.9		41.2		43.2	
% All other	46.1		34.1		28.3	
% Self 6/	49.7		30.1		27.2	
% Federal	25.5 7/		35.9 8/		34.6 8/	

---

1. Derived from "Talented and Needy Graduate and Professional Students", Educational Testing Service, Princeton, New Jersey, April 1982. Appendix 3.1 for seniors, 6.6 for first year and 6.9 for continuing.
2. VA and Soc. Sec. not given for seniors.
3. All other for seniors includes spouse's income, savings, spouse's parents, parental contribution, other relatives and other.
4. Pell and SEOG not available for graduates.
5. All other for graduates includes VA, Soc. Sec., spouse's income, summer savings, parental contribution, spouse's parents and other.
6. Self help is defined here as work plus parental contribution plus savings.
7. Federal aid for seniors is CWS+NDSL+GSL+Pell+SEOG.
8. Federal aid for graduates is CWS+NDSL+GSL+VA+Soc. Sec.

The Delivery of Student Financial Aid and Other Administrative Issues

Studies over the past year have documented numerous deficiencies in the current methods of distributing Federal student financial aid. Reports from the General Accounting Office, the ED General Inspector General, the Office of Student Financial Aid, and the Office of Student Financial Aid, and the Office of Management and Budget, have repeatedly criticized management and data system practices (see Table 16). A Credit Management Review Board (CMRB) was created in ED under the direction of the Comptroller's Office to direct the development and implementation of improvements, especially in the Guaranteed Student Loan program, while the Office of Student Financial Aid staff has undertaken a large-scale quality-control study of the Pell Grant program.

A more recent study has offered several alternative, integrated, student-aid delivery systems for review. These systems will employ improved data management techniques and greatly increased computer control to eliminate (or at least significantly reduce) the problems which have been identified. A series of reports on the development of the Pell Grant program's quality-control system have also addressed the issue of improving student aid delivery. This study also calls for improved system controls.

Efforts are expected to continue in FY 1983 to identify more effective methods of delivering student assistance to students from institutions, financial agencies, State agencies, and the Federal government.

There has been great concern at all levels in assuring that those with the greatest financial need be provided with the resources to attend college. As student assistance funds become more scarce, the effectiveness and efficiency of the procedures used to distribute aid become even more important. Without a well-functioning delivery system, waste, fraud, and abuse become more of a factor as does the inability to effectively target aid to those most in need.

Table 16

A Summary of Problems in the Delivery of Federal Student Aid Programs With Special Attention to the Pell Grant and GSLP Program

Deficiencies Common to PELL and GSL

1. There is no way to view the total aid provided to a student by program or by year.

2. There is no effective way of tracking a student for eligibility at the lending institution nor Federal level.

3. Existing systems cannot accommodate legislative changes without major revision of existing rules and regulations.

4. Financial Aid Officers, institutions and state agencies have difficulty coping with the variety of regulations and procedures.

PELL Deficiencies

5. The application process is complicated and error-prone, with an initial rejection rate over 25%.

6. The application process is so long that it resulted in a million telephone inquiries per year.

7. Students must re-apply each year, and they must go through the entire application process.

8. It takes as long to reject an application as to approve one, and a rejected applicant must repeat the entire process when re-submittoding.

9. The process to determine the amount of award is complicated and error-prone.

10. Students' reporting of resources is not consistently verified.

11. Current methods to determine cost of education are not consistent.

12. There is no efficient or timely way to identify under- or over-awards.

13. There is no timely way to monitor an institution's use of funds.

14. There is no independent verification that students have received the funds claimed by an institution.

15. There is no fiscal year in which all accounts have been reconciled.

16. There is no effective quality control.

17. Refund procedures are inconsistent, there is no effective way of tracking refunds, and no timely way of collecting overpayments.

GSL Deficiencies

18. There is insufficient financial integrity in the system -- leaving it open to fraud and abuse.

19. There is a limited capability to make on-line changes to student or lenders' records.

20. Erroneous dunning letters and bills are often sent.

21. The system cannot selectively retrieve transactions but must, for example, print a bank's entire billing manifest in order to find a particular interest payment.

22. There is a limited capability to check contractors' performance.

23. Student status verification by lenders is ineffective.

24. Response time is acceptable only when system use is restricted.

25. The system does not reject applications for borrowers who have defaulted on other loans.

26. File structures are incorrectly designed and processing time is excessive.

27. There is an inadequate system or user documentation.

SOURCE: Selected GAO and ED studies (citations by request)

Brief Summary of the Overview for 1983

1. Overall, participation rates for all postsecondary education are down for all income levels with the greatest decrease coming in the higher-income groups.
2. Low cost of college or availability of student aid appears to be a major factor in the selection of a college for low-income students.
3. Costs of education and median family income have grown at essentially the same rates; while Federal assistance programs have increased well over twice the rate of either.
4. From 1978 to 1981, family contributions for first-time, full-time students as a percentage of cost have fallen 5% and student burden (work and loans) has increased 4.4%.
5. Students from all income levels have increased their self-help contribution primarily through increased borrowing in the Guaranteed Student Loan Program.
6. Student burden has generally increased for all first-time, full-time students at a higher rate than the cost of education and the increase in median family income.
7. There has been a reduction in the overall Federal program participation rates for first-time, full-time students from 1980 to 1981. Only Guaranteed Student Loans showed an increase.
8. Median income of Federal student-aid-program participants increased at a greater rate from 1978 to 1981 than the median income of all students in all Federal programs, Supplementary Educational Opportunity Grants and College Work Study Program except where it remained constant.

9. 87.2% of all first-year and 83.4% of all continuing graduate students use loans more than any other source of aid to meet, on the average, over 40% of their educational costs.

10. With reduced funding of Social Security student assistance and reduction in veterans' student-assistance programs, ED-administered programs take on added significance as a source of aid to low-income students.

11. The improvement of the student-aid delivery and management system becomes even more more important with the increased diversity and size of the system, and with continuing changes in the rules and regulations of the Federal student-financial-aid programs. Improvement is needed in management efficiency and to assure that those most in need will receive assistance.

OFFICE OF POSTSECONDARY EDUCATION

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Pell (Basic Educational Opportunity) Grant Program (CFDA No. 84.063)

Legislation:

Education Amendments of 1972, Title IV; PL 92-318, 86 Stat., 247-251; as amended PL 94-328, PL. 94-482, PL. 95-43, PL. 95-566 and PL. 96-374

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1973	(Such sums as	$ 122,100,000
	1974	may be necessary)	475,000,000
	1975	"	840,200,000
	1976	"	1,325,800,000
	1977	"	1,903,900,000 1/
	1978	"	2,160,000,000 2/
	1979	"	2,431,000,000 3/
	1980	"	1,718,000,000 4/
	1981	"	2,604,000,000 5/
	1982	"	2,279,040,000

Program Goals and Objectives:

The Pell (Basic Educational Opportunity) Grant Program is a source of Federal student financial aid which provides access to and choice of Postsecondary education institutions for students who qualify because of financial need. The purpose of the Pell Grant Program is to assure that all students have a "funding floor". In the 1981-82 academic year up to $1,670 was provided to help finance their education in an eligible Postsecondary institution.

Program Operations:

(a) **Student Eligibility**

Eligibility for Pell Grants is determined on the basis of financial need. Eligibility is limited to undergraduate students who

---

1/ Of this amount, $211,700,000 was used for FY 76 awards.

2/ Of this amount, $579,000,000 was used for FY 80 awards.

3/ Excess monies in FY 78 and FY 79 were carried forward. $140,000,000 was rescinded. $258,000,000 was drawndown from FY 81.

4/ Includes $150,000,000 reduction due to Budget Amendment. Includes Supplemented Appropriation. Of this amount $258,000,000 was drawndown for FY 80.

are enrolled and maintaining "satisfactory progress" on at least a half time basis in an eligible program at an eligible institution of postsecondary education. These institutions include non-profit colleges and universities as well as postsecondary vocational, technical and profit-making institutions.

(b) Family Contribution Schedule

The law requires the Secretary to submit to Congress each year for approval a schedule indicating the formula for determining the Expected Family Contribution (EFC). The determination of a student's financial need is partly determined by the amount a family is expected to contribute to a student's postsecondary education. The current formula takes into account parental and student income, assets, family size, number of family members in postsecondary education and educational expenses of other dependent students, Separate formulas are used for dependent and independent students.

(c) Calculation of Awards at Full Funding

The maximum grant award was $1,670 in academic year 1981-82. The minimum awarded was $120. The amount of a student's Pell Grant entitlement is equal to the lowest of (1) the maximum award ($1750 in FY'81-82) minus the expected family contribution (-80 in FY'81-82); (2) one-half the cost of attendance which includes actual or average tuition and fee charges, actual or average room and board charges or a standard $1,100 living allowance and a miscellaneous allowance of $400 or (3) the difference between cost and expected family contribution.

(d) Calculation of Awards at Less than Full Funding

In the event that sufficient funds are not provided by Congress to fully fund all grants, student entitlements must be reduced in accordance with the following provisions:

If the expected family contribution is:	The student's entitlement will be:
0 - 600	100% of the amount
601 - 800	90% of the amount
801 - 1000	80% of the amount
1001 - 1200	70% of the amount
1201 - 1600	60% of the amount
1601 +	50% of the amount

The minimum award is $50 at less than full funding. No student may receive an award under reduced funding who would not have received an award of at least $200 under full funding. The amount of the student's award is reduced if the student is attending part-time.

(e) Application for Eligibility

Students apply for Pell Grant awards annually by filing a Pell Grant application provided by the Federal government or an approved needs analysis service. This application requests financial information of the student and the student's family that is necessary to calculate the expected family financial contribution. The application is submitted to a contractor which processes it and returns to the student a student eligibility report (SER) which contains a student eligibility index (SEI). The SEI is equivalent to the expected family contribution. The student receives a Pell Grant by submitting the SER to the institution's financial aid office. At the financial aid office the size of the Pell Grant is determined on the basis of the SEI, the student's enrollment status, and the cost of attendance at that institution. The award is generally disbursed by the institution.

Program Scope:

Table 1 provides summary statistics for the program since its inception. The Pell (Basic) Grant program has grown from fewer than 200,000 recipients receiving under $50 million in 1973-74 to about 2.8 million recipients receiving $2.4 billion in 1980-81. During this period the average award grew by nearly $600 and potential eligibility expanded from full time freshmen to all undergraduates enrolled on at least a half time basis.

In addition to this dramatic growth in size there has been a change in the characteristics of Pell Grant recipients. Table 2 shows the distribution of recipients by family income and dependency status for the award periods 1975-76 through 1980-81 estimates. There was a large growth in the percentage of "independent" recipients after 1975-76. Most recently, the implementation of the Middle Income Student Assistance Act (P.L. 95-566) in 1979-80, caused a substantial shift in the distribution towards middle-income dependent students (Table 3). It is estimated that the number of dependent Pell recipients from families below $12,000 decreased between 1976-77 and 1979-80. The remaining dependent and independent recipient categories showed a large increase.

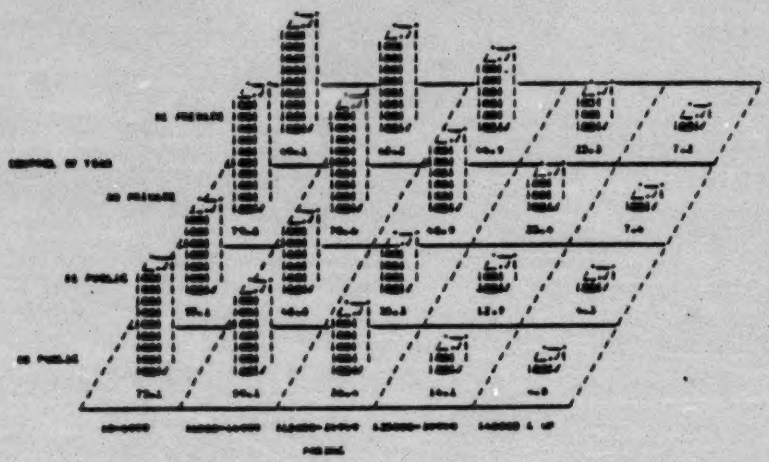
Program Effectiveness and Progress:

One measure of the effectiveness of the Pell Grant program is its importance in providing a "floor" of support for financing access to postsecondary education. An estimate of this effect is obtained by comparing the amount of the award to the cost of education. Table 4 shows that this support varies by income group but generally increases as cost increases.

More recent data, however indicate a slight change in the funding patterns. Participation rates by income class for 1979-80, and 1980-81 for full-time freshmen at public and private institutions are shown in Graph 1. There appears to be a marked reduction in the percentage of students receiving Pell Grants between 1979-80 and 1980-81. Only slight changes in the average awards were observed over this period. Total available funds are estimated to have been somewhat less in 1980-81 than during 1979-80.

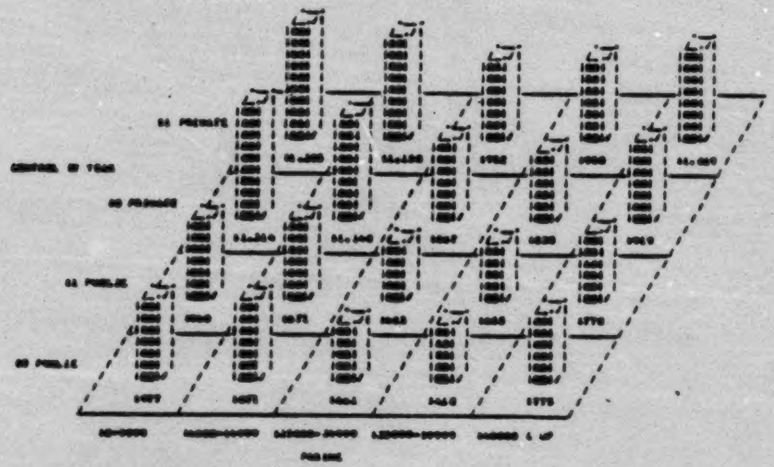
GRAPH 1

PARTICIPATION RATES IN PELL PROGRAM BY INSTITUTIONAL CONTROL AND FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-81



GRAPH 2

AVERAGE PELL AWARD BY CONTROL OF INSTITUTIONS AND BY FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-81



Source: U.S. Department of Education, Cooperative Institutional Research Program Data Bank 1979-80, 1980-81

TABLE 1

Pell Grant Program
Summary Statistics For Cross-Year Reference

AWARD PERIOD

	1973-1974	1974-1975	1975-1976	1976-1977	1977-1978	1978-1979	1979-1980	1980-1981
Number of Applicants Submitting Official Applications	512,066	1,304,877	2,339,337	3,590,379	3,844,047	3,885,383	4,186,716	4,872,884
Number of Applicants Submitting Valid Applications	482,331	1,114,084	2,178,696	3,408,718	3,621,641	3,401,428	3,868,429	4,512,336
Number of Percent of Qualified Applicants	268,444 (52.34%)	681,648 (52.24%)	1,456,187 (62.20%)	2,258,043 (62.09%)	2,390,320 (62.18%)	2,228,603 (57.35%)	3,029,745 (72.36%)	3,367,306
Number of Percent of Non-Qualified Applicants	213,887 (41.70%)	432,436 (33.14%)	723,509 (30.93%)	1,160,675 (32.05%)	1,231,321 (32.03%)	1,172,825	838,684 (30.19%)	1,145,030 (20.03%)
Number and Percent of Applicants Returned for Insufficient Data and Never Re-sumbitted for Processing	30,535 (5.96%)	190.793 (14.62%)	160,641 (6.87%)	181,661 (5.06%)	222.406 (5.79%)	483,965	318,287 (12.46%)	[illegible]0,548 (7.60%)
Number of Applicants Submitting Unofficial Applications						348,236	280,918	285,974
Classes of Eligible Applicants	Full time Freshmen	Full time Freshmen & Sophomores	Freshmen Sophomores Juniors	All Under-Graduates	All Under-Graduates	All Under-Graduates	All Under-Graduates	All Under-Graduates
Number of Eligible Applicants Selected for Validation						119,263	232,118	325,048
Number of Recipients	176,000	567,000	1,217,000	1,944,000	2,011,000	1,893,000	2,537,876	2,775,000 1/
Total Expenditures	$47,609,000	$356,363,000	$925,998,000	$1,475,444,000	$1,524,348,000	1,860,947,000	$2,504,911,291	$2,400,718,000 1/
Average Basic Grant	$270	$620	$761	$759	$758	$825	$987	$865 1/
Minimum Basic Grant	$ 50	$ 50	$200	$200	$200	$ 50	$200	$150
Maximum Basic Grant	$452	$1,050	$1,400	$1,400	$1,400	$1,600	$1,800	$1,750

---

1. The percentages of Qualified Applicants and Non-Qualified Applicants and the percentage of Applicants returned for Insufficient Data and Never Re-submitted to Processing add up to 100 percent.
2. The minimum Basic Grant for the 1974-75 and 1978-79 Award Periods was $50 due to reduced funding.

1/ Estimated

Source: OSFA, ED.

Table 2
Changing Composition of Pell Grant Recipients By Student Status

	Percent of Recipients					
	1975-76	1976-77	1977-78	1978-79	1979-80	1980-81
Independent Students	27%	36%	39%	36%	34%	32%
Dependent Students by Family Income						
Less than $6,000	30	26	25	22	14	13%
$6,000-12,000	32	28	25	25	19	19%
Over $12,000	11	11	11	17	36	36%
TOTAL	100%	100%	100%	100%	100%	100%

Source: Office of Student Financial Assistance's Merged Applicant Recipient data files.

1/ Estimated

Table 3

Changes in the Number of Basic Grant Recipients

Number of Recipients in Thousands (% Increase From Prior Year)

	1976-77	1977-78	1978-79	1979-80	1980-81 1/
Independent Students	700(+111%)	710	674(-5%)	827(+27%)	768(-7%)
Dependent Students by Family Income					
Less than $6,000	506(+37%)	622	401(-36%)	338(-16%)	312(-8%)
$6,000-12,000	545(+39%)	365	456(+25%)	470(+3%)	456(-3%)
Over $12,000	214(+58%)	149	306(+105%)	903(+195)	864(-4%)
TOTAL	1965(+58%) 1/	1846 2/3/	1837(+7%) 2/	2568(+38%) 2/	2401(-5%)

Source: 1/ Estimated for 1980-81

2/ See Table 2

3/ Because data is from 2 different sources, % change is not calculated from 1976-77 to 1977-78.

Table 4

Analysis of Pell Program Impact for First Time Full Time Students 1978, 1981

Program Impact - 1978

---FAMILY INCOME---

Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,000 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	966.	739.	576.	504.	612.	758.
	% AID	56.56	40.66	19.95	8.49	4.07	22.42
	RATIO	37.81	28.93	22.35	19.47	23.41	29.41
3001-6000	AVG $	1120.	881.	672.	643.	658.	855.
	% AID	68.60	49.27	25.63	9.76	4.68	22.34
	RATIO	31.73	25.12	19.29	18.62	18.90	24.55
5001 +	AVG $	1273.	1007.	857.	913.	919.	1005.
	% AID	70.60	58.63	31.66	15.30	4.97	20.85
	RATIO	22.62	17.84	15.13	15.98	15.65	17.41
TOTAL	AVG $	1059.	838.	662.	643.	700.	835.
	% AID	62.73	46.16	23.85	9.87	4.56	22.18
	RATIO	33.18	25.69	19.97	19.08	19.02	24.37

Program Impact - 1981

---FAMILY INCOME---

Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,000 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	818.	773.	627.	577.	568.	707.
	% AID	50.89	37.85	25.94	16.26	7.07	23.78
	RATIO	33.19	30.05	24.02	21.62	21.33	27.13
3001-5000	AVG $	1002.	850.	683.	640.	726.	802.
	% AID	59.52	50.54	33.02	17.22	7.52	26.42
	RATIO	25.52	21.42	17.08	15.87	17.88	19.97
5001 +	AVG $	1245.	1073.	908.	905.	966.	1012.
	% AID	66.95	60.07	43.99	29.12	11.40	29.71
	RATIO	18.90	16.17	13.50	13.22	13.03	14.33
TOTAL	AVG $	1015.	895.	738.	719.	804.	845.
	% AID	58.80	49.84	34.01	19.75	8.66	26.76
	RATIO	24.97	21.13	17.09	16.25	16.45	18.69

AVG - Total amount awarded/all recipients in cell
% AID - Student receiving PELL/all students in cell
RATIO - Total amount awarded per recipients in cell/cost of education

SOURCE: U.S. Department of Education, Cooperative Institutional Research Program Data Bank 1978-1981

Table 5

Joint Participation of PELL Grant Recipients and Other ED Administered Aid Programs

PELL and Other AID	FALL 1980	FALL 1981
PELL/SEOG	23.1	19.3
PELL/CWSP	31.4	28.9
PELL/NDSL	19.3	17.3
PELL/GSLP	24.0	33.0

SOURCE: Developed by ED/OPBE from Cooperative Institutional Research Program Data Bank, ACE/UCLA 1980, 1981

The lower the income level and the lower the cost of education the relatively more important a Pell Grant. In 1981 larger numbers of first time freshmen students (27% vs. 22%) participated although the average award level held relatively constant. However, whereas the Pell Grant accounted for 24% of the total cost of Postsecondary Education in 1978-79 it covered less than 19% in 1981-82.

The dramatic effect of MISAA can be seen in Tables 2 and 3. The group with incomes above $12,000 increased by nearly 600,000 (+195%) in 1979-80 compared with the previous year. This income group comprised 36 percent of all recipients in 1980-81 compared with 17 percent in 1979-80.

Table 5 lists the joint participation rates during 1980 and 1981 for Pell Grant recipients. These recipients were somewhat less likely to receive some form of campus-based aid but much more likely to have obtained a guaranteed student loan. However, in all cases the chances are no more than one in three that the Pell recipient is also in one of the other programs.

Current Analytic Activities

Although recent impact studies have been completed, A Higher Education Panel Study has been developed to determine how much financial aid is received by students in the Fall of 1982. It will also survey the use of electronic data processing equipment in the administration of student financial aid at the institution level. Additional information will be collected first time full time students in the Fall 1982 under the Cooperative Institutional Research Program.

Source of Evaluation Data

American Council on Education-Cooperative Institutional Research Program Data Bank, 1978, 1980, 1981.

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Joseph Vignone, 472-4300

For further information about studies of program effectiveness,

Contact: Robert Bart, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Supplemental Educational Opportunity Grants Program (CFDA No. 84.007)

Legislation:

Title IV Subpart A-2, Public Law 92-318,
86 Stat. 251; as amended PL. 94-482 and
PL. 96-374

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization 1/	Appropriation
1974	$210,300,000	$210,300,000
1975	200,000,000	240,300,000
1976	200,000,000	240,093,000
1977	200,000,000	250,093,000
1978	200,000,000	270,093,000
1979	200,000,000	340,100,000
1980	200,000,000	370,000,000
1981	200,000,000	370,000,000
1982	200,000,000	355,400,000

Program Goals and Objectives:

The purpose of the Supplemental Educational Opportunity Grants (SEOG) Program is "to provide, through institutions of higher education, supplemental grants to assist in making available the benefits of postsecondary education to qualified students who demonstrate financial need in accordance with the provisions of Section 482." The more general and related goal is to contribute to the promotion of the equality of educational opportunity at the postsecondary level by equalizing the sum of expected family contribution and grant aid among students at similar cost institutions with similiar family financial conditions.

Program Operations:

(a) Student Eligibility

SEOG awards are limited to students who are enrolled at least half-time as undergraduates at their respective institutions, who maintain "satisfactory progress," and who have "financial need." Institutions may use 10 percent of their SEOG funds to make awards to undergraduate students who are enrolled less than half-time.

1/ For initial year grants plus such sums as may be needed for continuing grants.

(b) Student Applicants and Awards

Students apply for SEOG's through the financial aid administrators at their institutions. The financial aid administrator determines, individual awards and amounts on the basis of available funds and the financial need of students. The maximum SEOG is $2,000 per year. A student is eligible to receive a supplemental grant for the period of time needed to complete the first undergraduate baccalaureate course of study.

(c) Institutional Applications and Awards

For purposes of Federal allocation to institutions there are actually two SEOG programs--an initial year (IY) and a continuing year (CY) program. The Department of Education determines the proportions of total program funding that are allotted to IY and CY uses. Initial year awards can only be made to students who have never before received an SEOG while continuing year awards can only be made to prior SEOG recipients. The 1980 amendments distribute funds by IY and CY categories but expenditures may be interchanged between IY and CY funds as needed.

Institutions apply for SEOG funds, both IY and CY, annually through the "FISAP" (combined Fiscal Operations Report and Application for Campus-Based Aid). The FISAP became operational in the fall of 1978 for funds to be used during the 1979-80 academic year. Prior to this, institutions applied for funds through an application for a specific funding request that was reviewed at the ED Regional Office level. Institutional awards were determined by prorating approved application requests on a State by State basis so as not to exceed total appropriations.

The current process allots both IY and CY funds to States for further allocation to institutions in the states. Institutions receive funds on the basis of year-to-year FISAP changes with each institution guaranteed a percentage of its' historical base amount. All data elements used to compute an institution's allocation funding level are auditable and verifiable.

Program Scope:

The SEOG program which began in FY 1965 has grown from $210 million in the 1974-75 academic year to $370 million for the 1981-82 academic year or 76 percent over seven years. The average (per recipient) award has risen over this period from about $500 to over $600. In 1981-82 there were about 586,000 recipients.

The changing composition of SEOG recipients is shown in Table 1 and Graph 2. Table 1 indicates that, from 1974-75 to 1979-80, there has been an increase in the percentages of recipients who are declared "independent" of their parents for financial aid purposes and of dependent recipients with family income above $12,000. Graph 2, shows the distribution of SEOG recipients and funds for first time full time students for 1980-81 and 1981-82 by income and institutional type. The upward trend of recipients by income

Table 1

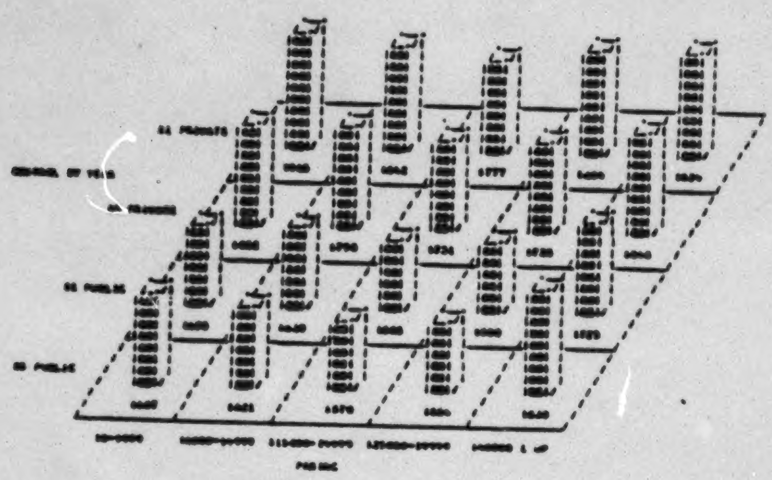
Income Distribution of SEOG Recipients in Percents
From 1974-75 to 1979-80

	1974-75	1976-77	1978-79	1979-80
Less than $6,000	39%	24	17	17
6,000 - 12,000	30	31	21	20
Over 12,000	6	19	31	32
Independent	25	26	31	31
Total	100	100	100	100

Sources: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2", and "Study of the Impact of the Middle Income Student Assistance Act;" Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

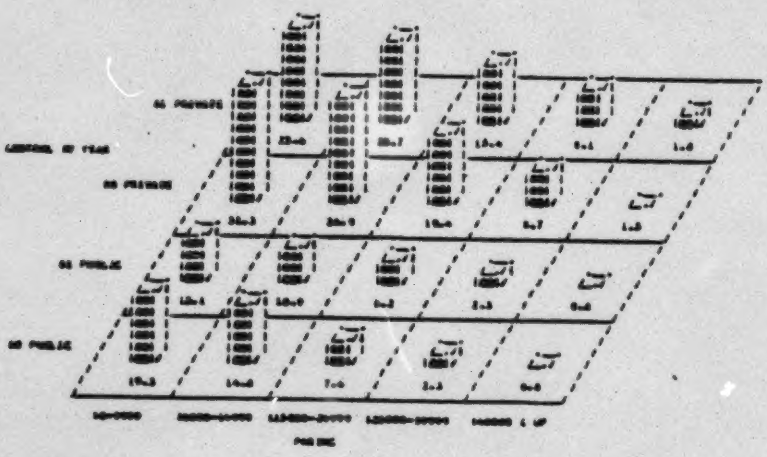
GRAPH 1

AVERAGE SEOG AWARD BY CONTROL OF INSTITUTIONS AND BY FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-1981



GRAPH 2

PARTICIPATION RATES IN SEOG PROGRAM BY INSTITUTIONAL CONTROL AND FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-1981



SOURCE: U.S. Department of Education, Cooperative Institutional Research Program Data Bank 1980, 1981

(in constant dollars) seems to have fallen as have the relative numbers of students receiving aid by income groups. Graph 1, however, indicates that while the mean award in the public sector seems to be holding level in 1981, there has been in increase in the mean award level in the private sector.

Generally, the probability of receiving an SEOG increases as an applicant's family income decreases. Awards are partly based on institutional costs since the larger percentage of recipients are in private institutions with higher costs, the average SEOG award is larger in these institutions.

There are approximately 3,600 institutions participating in the SEOG program. Their funding by type and control is shown in Table 2. Although only about 20 percent of all undergraduates are enrolled in private institutions, roughly 40 percent of the SEOG funds went to these schools. At higher-cost private institutions students with similar family incomes require larger amounts of aid than at lower-cost public institutions. Little change in the distribution of aid within these types of institutions is noted over the 1978-79 to 1981-82 funding period.

Program Effectiveness and Progress:

Perhaps the most important measure of the SEOG program's effectiveness is whether the funds are actually being awarded to students with substantial need and whether these funds supplement or replace other federal programs. Using data for first time full time students in the Fall of 1981 (Table 3) it is apparent that funds were distributed in larger amounts to those students attending higher cost institutions and to those with the lowest incomes. The chances of receiving an SEOG grant is twice as great for students attending an institution with costs in excess of $5000 than for those in institutions costing less than $3000. Students from families with incomes less than $15,000 were two to three times as likely to receive an award compared as those from higher income families. Data shown in Table 3 also indicates that, there has been some shifting of the awards to higher income groups from 1978-79 to 1980-81. This however, is a deceiving trend since over this period SEOG is the only program in which the median income of participants did not keep pace with the increase in the median income for all college students. Thus the upward shift in student participation at higher income levels can be explained by wage inflation. Further it might be said that the program is targeting its funds on lower income students to a greater degree in 1981-82 then in 1978-79. More recent data indicates that the percentage of students receiving SEOG's generally fell during FY 1981 at both public and private institutions. However, the aid remains targeted at the lower income levels. (See Graph 1 and 2).

In terms of multiple participation (students receiving awards from one or more other Federal programs), SEOG awardees had the highest joint rates of participation in Pell, Work-Study, and the NDSL programs when compared with other ED programs (Table 4).

Table 2

Distribution of 1978-79 - 1981-82 Allocations of SEOG by Type of Institution

	SEOG-IY				SEOG-CY				SEOG-Total			
	1978-79	1979-80	1980-81	1981-82	1978-79	1979-80	1980-1981	1981-1982	1978-79	1979-80	1980-81	1981-1982
Four-Year Public	34%	34%	35%	35%	43%	41%	41%	40%	38%	37%	38%	37%
Four-Year Private	30	32	31	32%	42	45	43	43	36	38	36	37
Two-Year Public	17	16	17	16%	10	9	10	9	14	13	14	13
Two-Year Private	3	4	3	3%	2	3	3	3	3	3	3	3
Proprietary	16	14	14	14%	2	2	3	5	10	9	9	10
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
National Allocation ($ million)	146	184	200	203	124	156	170	164	270	340	370	367

Source: U.S. Department of Education, Office of Student Financial Assistance
Program files

Table 3

Analysis of Supplemental Educational Opportunity Grant Program Impact First Time Full Time Students 1978, 1981

Program Impact - 1978

---FAMILY INCOME---

Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,000 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	653.	520.	423.	511.	504.	539.
	% AID	10.54	7.60	4.33	1.89	0.75	4.40
	RATIO	25.85	20.38	16.42	19.74	19.28	20.91
3001-5000	AVG $	662.	561.	536.	588.	666.	591.
	% AID	18.08	13.08	7.44	2.79	1.12	6.07
	RATIO	18.76	16.01	15.38	17.02	19.12	16.96
5001 +	AVG $	856.	814.	795.	795.	799.	812.
	% AID	28.71	24.43	16.40	9.00	1.63	9.39
	RATIO	15.20	14.42	14.02	13.90	13.62	14.07
TOTAL	AVG $	688.	597.	565.	635.	671.	621.
	% AID	15.14	11.59	7.00	3.12	1.11	5.85
	RATIO	21.55	18.31	17.04	18.83	18.22	18.13

Program Impact - 1981

---FAMILY INCOME---

Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,000 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	524.	578.	610.	691.	523.	566.
	% AID	8.06	4.89	2.52	1.53	0.80	2.95
	RATIO	21.26	22.47	23.39	25.90	19.64	21.72
3001-5000	AVG $	688.	612.	580.	617.	726.	635.
	% AID	13.37	9.63	6.22	2.55	1.25	5.08
	RATIO	17.52	15.41	14.51	15.31	17.30	15.81
5001 +	AVG $	847.	795.	763.	753.	798.	790.
	% AID	24.82	21.64	15.89	10.47	3.29	10.36
	RATIO	12.85	11.97	11.35	11.00	10.77	11.19
TOTAL	AVG $	716.	684.	565.	699.	753.	696.
	% AID	14.19	11.16	7.59	4.16	1.81	6.02
	RATIO	17.63	16.15	15.40	15.80	15.41	15.38

AVG - Total amount awarded/all recipients in cell
% AID - Students receiving SEOG/all students in cell
RATIO - Total amount awarded per recipients in cell/cost of education

SOURCE: U.S. Department of Education, Cooperative Institutional Research Program Data Bank 1978-1981

Table 4

Joint Participation of SEOG Recipients and Other ED Administered Programs 1980, 1981

SEOG and OTHER AID	FALL 1980	FALL 1981
SEOG/PELL	85.2	78.8
SEOG/CWSP	49.6	46.7
SEOG/NDSL	36.0	34.8
SEOG/GSL	27.7	38.1

SOURCE: Developed by ED/OPBE from Cooperative Institutional Research Program Data Bank ACE/UCLA 1980, 1981

They also had one of the highest rates of participation in the GSLP program. SEOG awards are more likely to be used to supplement other awards but in particular, Pell Grants where four out of five SEOG students also had a Pell grant. Interesting, the rate of multiple participation dropped from 1980 to 1981 in all programs except GSLP where it increased (from 27.7% to 38%). Since the purpose of this program is to supplement other programs while targeting on those most in need, it would appear that the program is meeting this goal.

One final measure of the importance of SEOG is the degree to which it assists students in meeting the cost of education. While only about 6.0 percent of all first time full time students participate in the program and receive an award of about $600, SEOG comprises about one sixth of the cost of their education.

Current Analytic Activities:

Student financial aid data collection on SEOG recipients for first time full time students will continue through the Cooperative Institution Research Program (CIRP) for the Fall of 1982. A institutional survey is also planned for the Fall of 1982 through the Higher Education Panel.

Sources of Evaluation Data:

Applied Management Sciences, Inc., "Study of the Impact of the Middle Income Student Assistance Act," U.S. Office of Education, OED, Contract #300-79-043.

Cooperative Institutional Research Program, American Council on Education and the University of California at Los Angeles. 1978, 1980, 1981

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Robert Coates, 245-2320.

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Student Incentive Grant Program (CFDA No. 84.069)

Legislation:

Title IV, Subpart A-3 of the Higher Education Act; as added by Public Law 92-318; as amended by Public Laws 94-482, 95-43, 95-566, 96-96, and 96-374.

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1973	$50,000,000 1/	None
	1974	50,000,000 1/	$20,000,000 2/
	1975	50,000,000 1/	20,000,000
	1976	50,000,000 1/	44,000,000
	1977	50,000,000 1/	60,000,000
	1978	50,000,000 1/	63,750,000
	1979	50,000,000 1/	76,750,000
	1980	50,000,000 1/	76,750,000
	1981	100,000,000	76,750,000
	1982	76,800,000	73,680,000
	1983	76,800,000	
	1984	76,800,000	
	1985	250,000,000	

Program Goals and Objectives:

The SSIG program is designed to encourage States to develop or expand grant assistance to students with "substantial financial need" who attend eligible postsecondary institutions. The SSIG program provides an incentive for States to contribute to the longer term goal of equality of educational opportunity. At the same time, the network of State scholarship agencies provides a locus for State attention to the needs of higher education students in particular and State higher education services in general.

Program Operations:

SSIGP is a 50-50 cost-sharing (State-Federal) program under which Federal funds are allotted/reallotted to the States based on a formula reflecting recent student attendance patterns. Reallotment is permitted if a State does not use all of its current allotment. Disbursements are made directly from the Federal Government to the States and from the

---

1/ Plus such sums as may be needed for continuation grants. Beginning in FY 1980, the statute combined initial and continuation grants under a single authorization.

2/ Only $19,000,000 was released for allotment to States.

States to postsecondary institutions on behalf of students. While States are responsible for the selection of grant recipients, selection criteria are subject to review by the Secretary, and individual student grants are limited to $2,000 per academic year. States pay all administrative costs and may employ any distribution procedure that falls within the overall scope of the statute.

Under the definition of "substantial financial need," States have a wide latitude in their selection of grant recipients. Some States define "relative need" as the difference between the student's resources and the cost of attending his particular institution. Others measure need in terms of income, giving larger grants to those with least resources. Some States use need criteria established by State law, leaving institutions to make up the difference between State awards and student need.

The original SSIG statute provided separate authorization for initial and continuation student awards. As the pattern of support for four full undergraduate years was reached, the program was level funded. To streamline recordkeeping, the 1980 amendments consolidated the authorization into a single program, effective in the fall of 1980, and permit States - at their option - to include graduate and less-than-half-time students, thus expanding assistance to nontraditional student.

Program Scope:

Fifty-seven States and territories are potentially eligible for matching grants under the SSIG program. In FY 1974, the first year of SSIG operation, scholarship programs were expanded in 27 States, and completely new programs were established in 14 States and territories. The following year, 9 new States and the District of Columbia joined the network of jurisdictions with operational State scholarship programs. By FY 1978, all eligible States and territories had joined in the SSIG network. Table 1 shows the growth of State aid programs, including the Federal share of total State grant payout, as reported in the 13th Annual Survey of the National Association of State Scholarship and Grant Programs (NASSGP).

Program Effectiveness and Progress:

To show the impact of Federal funding, Table 2 uses NASSGP Survey data and SSIG Program information to indicate the growth of new and mature State scholarship programs since the beginning of SSIG. In 1973-74, the year before SSIG, State grant payout nationwide was $364.2 million. In 1981-82, when the SSIG appropriation was $76.75 million, total State grant payout had increased almost 3-fold, to nearly $1 billion. However, as shown in Table 2, growth was rapid in the States with mature programs, where State concerns and administrative frameworks were already available and SSIG participation simply required additional financial support for ongoing programs. In States which established new programs with SSIG incentives, however, growth was much slower because States had to build constituencies and provide support not just to match Federal funds in a new area but also to pay for administrative costs of completely new programs.

Table 1

History of State-Funded Scholarship/Grant Programs Since 1969-70

Year	No. States/ Territories	Number Recipients	Total State Grant Payout (Million of Dollars) Total	Total State Grant Payout (Million of Dollars) SSIG Federal
1969-70	19	470,000	$199.9	----
1970-71	21	535,200	236.3	----
1971-72	23	604,000	268.6	----
1972-73	29	661,700	315.5	----
1973-74	31	733,300	364.2	----
1974-75	37	813,100	440.8	$19.0
1975-76	48	901,900	510.2	20.0
1976-77	55	1,104,400	651.4	44.0
1977-78	56	1,161,400	737.0	60.0
1978-79	57	1,217,750	789.2	63.75
1979-80	57	1,278,429	864.5	76.75
1980-81	57	1,241,851	873.3	76.75
1981-82	57	1,330,002 (est.)	963.6 (est.)	76.75

Source: National Association of State Scholarship and Grant Programs, 13th Annual Survey, Pennsylvania Higher Education Assistance Agency, Harrisburg, Pa. 17102, November 1981.

Table 2

Growth in State Scholarship Programs Since Federal Funding of State Student Incentive Grants (SSIG)

	States Expanding Grant Programs Under SSIG (Mature)	States Establishing Grant Programs Under SSIG (New)	Total, All State Grants Programs
Number States eligible for SSIG (50 States, D.C., P.R., and *5 outlying areas)	27	30*	57*
1973-74 (before SSIG funds): State Grant Payout	$364.2 million	NA	$364.2 million
1981-82 (including SSIG funds): State Grant payout, including SSIG Federal funds	$894.8 million	$80.7 million	$975.5 million
SSIG Federal Funds (by formula grants to States)	$59.68 million	$17.07 million	$76.75 million
SSIG Federal % of Total State Payout	7%	21%	8%
Range of SSIG % among States	2%-50%	4%-40%	2%-50%
Median SSIG % among States	12%	44%	18%
Increase in total State Payout, 1981-82 over 1973-74			$611.3 million

Source:

1973-74 Data from NASSGP Survey;
other data from SSIG Program records.

May 1982

In 1981-82, SSIG funds ($76.75 million) are approximately 8% (with matching, 16%) of the total State grant payout ($975 million). All States use SSIG and State matching to expand eligibility; however, in 25 States - primarily those with newer State grant programs-SSIG plus matching makes up more than 40 percent of their grant payout. Based on their higher education enrollments, these 25 States together receive and match about a fourth of the SSIG appropriation, but their total payout for scholarships is only $58 million, or about 6 percent of the total nationwide payout. In fact, 11 of these States depend entirely upon SSIG and State matching for their scholarship programs. In 17 States, SSIG and State matching make up the entire need-based grant program. Some of these States lack sufficient matching and release funds for reallotment to other States.

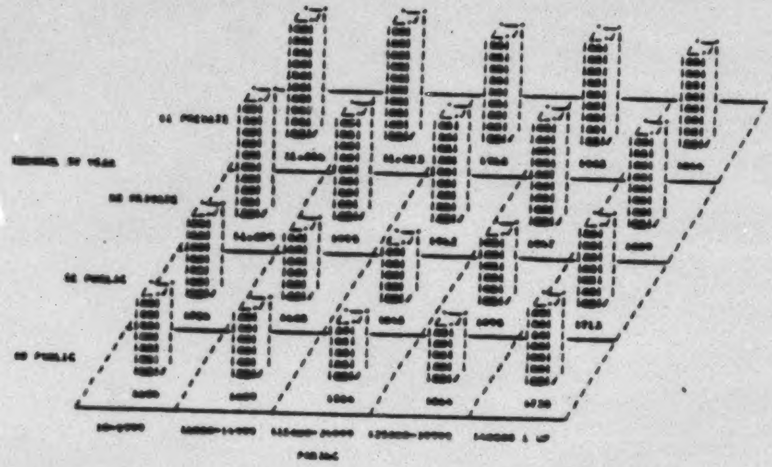
At the other end of the matching continuum, 8 States with mature programs (New York, Vermont, New Jersey, Pennsylvania, Puerto Rico, Illinois, Iowa, and Minnesota) heavily overmatch their SSIG funds. Based on their enrollments, these 8 States receive $19 Million (25%) of the SSIG appropriation; however, because they have strong State programs, their total payout is estimated at $578 million or approximately 56% of the total nationwide.

Between the two groups at opposite ends of the matching continuum are 19 other States which, together, are eligible for $39 million or about 51% of the SSIG appropriation and estimate their payout at $339 million or 35% of total State grants nationwide.

The percentage of Freshman students receiving State grants, including SSIG, decreased between FY 1980 and FY 1981 (Graph 1 and 2). This participation drop occurred at both public and private institutions and across nearly all income categories. For example, in the two lowest income categories participation by recipients in private colleges fell 35.5% to 30.5% ($0-5,999) and from 37.3% to 33.1% ($6,000-14,999). At public colleges and universities the decrease was from 24.0% to 19.9% and from 25.8% to 21.9%. The only exceptions to the generally decreasing percentage of students receiving State grants of all types were the two highest income categories at public institutions. Those from families in the $25,000-$39,999 category increased their participation in State grants from 9.8% to 10.3%. Similarly, those in the $40,000+ group, although receiving very few State grants, increased their participation rate from 4.5% to 5.3%. Average award amounts for those receiving grants increased slightly for those attending private institutions but decreased for some categories at public institutions. At private colleges, the lowest income students received $1043 in FY 1981 and $1031 in FY 1980. At public institutions this same income category had an increase from $745 to $749. However, at these same public institutions, all recipients above $15,000 of family income had decreases in the amount of their State grants, ranging from 3.0% to 4.2%.

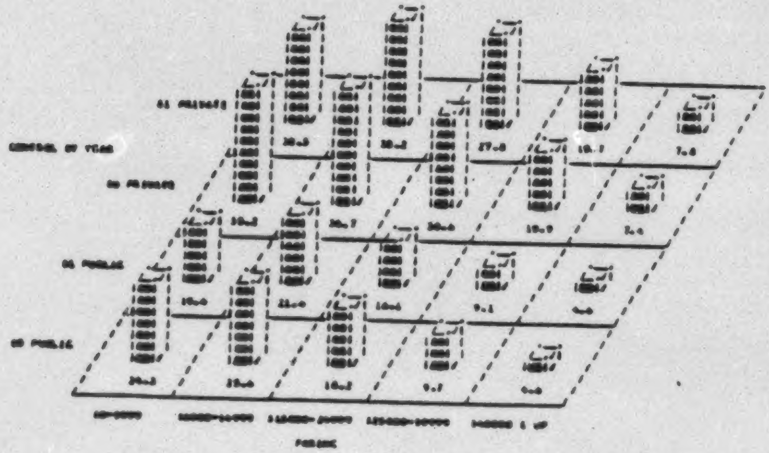
GRAPH 1

AVERAGE SSIG AWARD BY CONTROL OF INSTITUTIONS AND BY FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-1981



GRAPH 2

PARTICIPATION RATES IN SSIG PROGRAM BY INSTITUTIONAL CONTROL AND FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-1981



SOURCE: U.S. Department of Education, Cooperative Institutional Research Program Data Bank 1980, 1981

Table 3

State Student Grant Payout, Federal SSIG Allotments, and Federal Percent of State Grants, 1981-82. (From State Student Incentive Grant Program Records) Note: State payout data includes Federal funds and State funds (both need and non-need awards).

	Total State Payout Includes Federal Funds and State Funds (need and non-need awards)	Federal Funds (1981-82) (need-based awards only)			
		AMOUNTS	PERCENTS		
ALABAMA	4,895,152	1,142,018	23*		
ALASKA	243,838	121,919	50*		
ARIZONA	2,606,623	1,306,623	50*		
ARKANSAS	1,874,773	485,585	27		
✓ CALIFORNIA	88,152,729	11,791,984	13		
COLORADO	12,251,413	1,048,032	9		
✓ CONNECTICUT	8,255,603	988,477	12		
DELAWARE	578,159	204,759	35		
DISTRICT OF COLUMBIA	1,115,372	355,036	30*		
✓ FLORIDA	12,302,086	2,402,086	20		
GEORGIA	3,751,541	1,333,817	36		
HAWAII	1,522,026	315,368	21*		
IDAHO	539,718	257,018	48		
✓ ILLINOIS	92,099,558	4,148,258	5		
✓ INDIANA	21,714,883	1,534,383	7		
✓ IOWA	15,659,855	825,255	5		
✓ KANSAS	5,325,464	850,464	17		
KENTUCKY	6,580,363	937,363	14		
LOUISIANA	3,083,878	1,092,775	35*		
✓ MAINE	550,148	275,088	50*		
✓ MARYLAND	6,899,836	1,399,836	20		
✓ MASSACHUSETTS	17,467,767	2,467,767	14		
✓ MICHIGAN	43,623,852	3,272,452	7		
MINNESOTA	31,348,056	1,484,256	5		
MISSISSIPPI	1,299,292	649,646	50*		
✓ MISSOURI	8,621,423	1,516,791	18		
MONTANA	423,184	211,592	50*		
NEBRASKA	1,100,538	550,269	50*		
NEVADA	1,255,564	209,336	16*		
NEW HAMPSHIRE	542,542	287,542	49		
✓ NEW JERSEY	49,552,861	2,012,861	4		
NEW MEXICO	779,224	389,612	50*		
✓ NEW YORK	285,708,890	6,438,890	2		
NORTH CAROLINA	3,789,372	1,666,761	44*		
✓ NORTH DAKOTA	494,605	205,605	42		
✓ OHIO	30,525,454	3,042,861	10		
OKLAHOMA	2,067,028	1,033,514	50*		
✓ OREGON	8,142,152	985,852	12		
✓ PENNSYLVANIA	81,253,609	3,373,014	4		
✓ RHODE ISLAND	6,253,940	405,040	6		
✓ SOUTH CAROLINA	11,914,948	830,289	7		
SOUTH DAKOTA	535,536	217,867	41*		
✓ TENNESSEE	7,122,032	1,242,732	17		
✓ TEXAS	22,736,616	4,186,616	18		
UTAH	1,140,458	570,229	50*		
✓ VERMONT	5,650,000	152,760	3		
VIRGINIA	23,362,325	1,634,625	23		
✓ WASHINGTON	5,788,042	1,741,471	30		
✓ WEST VIRGINIA	4,257,416	557,416	13		
✓ WISCONSIN	23,037,313	1,600,613	7		
WYOMING	278,732	128,732	50*		
✓ Puerto Rico	16,1[illegible] 866	686,116	4	May 1982	
Territories	N/A	46,364			
TOTAL	973,[illegible]3,000	76,750,000	8		

*SSIG plus matching is total needbased program; some States returned unmatched SSIG funds.
✓Mature programs; made student grants before SSIG.

In essence state funds appear to be distributed on a basis of need similar to the SEOG and Pell Grant programs. There is one difference: state funds as distributed appear to be more sensitive to the ability level of student recipients. Those students with the greatest need and highest ability have the highest chances of receiving state aid. Using 1979-80 data from the Cooperative Institutional Research Program it was found that those students in the upper third of ability, as measured by H.S. Bank, received almost double the percentage of awards as those in middle and lower thirds. While similar distribution patterns were observed in terms of need, states also were able to consider academic potential.

Current Analytic Activities:

None

Sources of Evaluation Data:

National Association of State Scholarship and Grant Programs, 13th Annual Survey, Pennsylvania Higher Education Assistance Agency, Harrisburg, Pa. 17102. November, 1981. 110 pages.

Pennsylvania Higher Education Assistance Agency, "The Impact of State Student Incentive Grant Program Funds on the Implementation, Maintenance and Growth of State-Supported Student Grant Programs," by Jerry S. Davis. PHEAA, 660 Boas Street, Harrisburg, Pa. 17102. April 1982. 22 pages.

Washington Office of the College Board, "The Federal Government, the States, and Higher Education, Issues for the 1980's," by Lawrence E. Gladieux and Janet S. Hansen, with Charles R. Byce. College Entrance Examination Board, New York, 1981. 21 pages.

Washington Office of the College Board, "The State Student Incentive Grant Program, An Assessment of the Record and Options for the Future," by Janet S. Hansen. College Entrance Examination Board, New York, 1979. 36 pages.

Education Commission of the States, "Study of State Student Incentive Grant Programs and State Scholarship Program," U.S. Office of Education Contract #300-76-0367. (Three volumes)

State Student Incentive Grant Program files, Office of Student Financial Assistance, Department of Education.

Cooperative Institutional Research Program, U.C.L.A., 1979, 1981, 1982

For further information about program operations,

Contact: Lanora G. Smith, 472-4265.

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Guaranteed Student Loan Program (CFDA No. 84.032)

Legislation:	**Expiration Date:**
Title IV-B, Higher Education Act of 1965, enacted by Public Law 89-329, amended by Public Laws 89-698, 89-752, 89-794, 90-460, 90-575, 91-95, 92-318, 92-391, 93-269, 94-328, 94-482, 95-43, 95-561, 95-566, 96-49, 96-374, and 97-35.	September 30, 1985

Funding History:

Year	Loan Volume	Obligations 1/	Appropriation 1/
1966	$ 77,492,000 2/	$ -	$ 9,500,000 2/
1967	248,494,000 2/	15,632,000	43,000,000 2/
1968	435,849,000 2/	39,937,000	40,000,000 2/
1969	686,676,000	60,571,000	74,900,000
1970	839,666,000	118,387,000	73,226,000
1971	1,043,933,000	135,616,000	161,200,000
1972	1,301,577,000	228,708,000	209,365,000
1973	1,198,523,000	304,237,000	291,640,000
1974	982,000,000 3/	422,321,000	398,668,000
1975	1,208,000,000 3/	464,163,000	594,200,000
1976	1,735,000,000 3/	560,889,000	807,787,000
1977	1,470,000,000 3/	538,996,000	357,312,000
1978	1,648,000,000 3/	737,021,000	479,663,000
1979	2,250,000,000	788,023,000	945,030,000
1980	4,840,000,000	1,597,877,000	1,609,344,000
1981	7,762,000,000	2,721,115,000	2,535,470,000
1982	8,707,000,000	3,446,492,000 4/	2,752,012,000 4/

1/ Includes: advances for reserve funds, expenditures for interest payments, special and administrative allowances, death and disability claims, bankruptcy claims and default claims. Costs for computer S&E items are not included except for Fiscal Years 1978 thru 1980 which include computer costs of $10.5 and $12.5 million respectively.

2/ Includes loans under the now repealed National Vocational Student Loan Insurance Act of 1965.

3/ Disbursed loan volume rather than commitments as for prior years.

4/ Administration estimates as of 1982 appropriation includes the Administration's proposed supplemental of $978,166,600; the supplemental provided by Congress was $1,300,000,000 or $321,833,400 more than the Administration's request.

Program Goals and Objectives:

The objective of the program is to provide low-interest loans to students and parents to help pay the students cost of attending eligible institutions of higher education, subsidized, low cost low-interest vocational, technical, business and trade schools, and eligible foreign institutions. This program utilizes loan capital supplied primarily by commercial lenders but also by some educational institutions and State and private agencies acting as direct lenders. Access to this loan capital is intended to facilitate access by students to postsecondary education and to a wider choice in the types of institutions. Loans are guaranteed either by individual State or private nonprofit agencies (reinsured by the Federal government) or directly by the Department of Education. The objective of such guarantees is to provide long term, low-interest, deferred payment, noncollaterized loans to students and parents of dependent undergraduates. Guaranteed loans are an important supplement to other Department of Education programs of student financial aid, providing low-income students with an additional source of funds and providing many middle-and upper-income students with their primary source of Federal assistance.

Program Operations:

The principal of the loan is provided by participating lending institutions such as commercial banks, savings and the loan associations, credit unions, insurance companies, pension funds, State agencies, and eligible educational institutions. Repayment of loan is guaranteed by a State or private nonprofit agency or it is insured directly by the Education Department.

The following is a description of the program as it functioned in Fiscal Year 1982. A student is eligible for a loan if he or she is enrolled and making satisfactory academic progress as determined by the institution, or accepted for enrollment at least half time at an eligible institution and is a United States citizen or is in the United States for other than a temporary purpose and intends to become a permanent resident. Students may receive loans in amounts up to the established limits except that loans to students with adjusted gross family incomes above $30,000 must demonstrate need. The annual student loan limits are $2,500 for undergraduate study and $5,000 for graduate study. The total of loans outstanding cannot exceed $12,500 for undergraduates and $25,000 for graduate and professional students, including their undergraduate loans. All students were eligible for Federal interest benefits. Nine percent interest is charged to first-time student borrowers and is paid by the Federal Government prior to the repayment period, which begins 6 months after leaving school, and during all deferment periods. Loans made to borrowers who have 7 percent loans outstanding will be charged 7 percent interest and repayment begins 9-12 months after leaving school. Deferment of repayment is provided when the student returns to full-time study at an eligible educational institution or enrolls in certain graduate fellowship programs. A deferment period of up to three years is also provided while the borrower is serving an active duty in the Armed Forces or the PHS Commissioned Corps, in the Peace Corps, or full-time volunteer programs

programs conducted by ACTION, or during comparable comparable full-time voluneer service in a non-profit organization. Repayment is also deferred during a single period, not to exceed one year, during such time that the borrower is seeking but unable to find full-time employment, during required pre-professional internships (up to two years), and during periods of temporary total disability of the borrower or his spouse (up to three years). In addition, less subsidized plus loans are available to parents of dependent undergraduates and to graduate students at 14 or 12 percent interest for up to $3,000 annually and $15,000 cumulatively.

A statutory formula provides for a Federal special allowance to be paid to lenders in order to promote an equitable return to holders of loans, and to give appropriate consideration to relative administrative costs and money market conditions. The quarterly special allowance is computed by determining the average of the bond equivalent rates of the ninety-one-day Treasury bills for the three month period, by subtracting 3.5 percent from this average, by rounding the resultant percent upward to the nearest one-eight of one percent, and by dividing the resultant percent by four (for 9 percent loans, rate is ninety-one-day Treasury bill rate minus 5.5 percent). Thus, for all lenders of student and parent loans are assured, a total yield, variable each quarter, equal to the annual average Treasury bill rate plus 3.5 percent.

The Education Amendments of 1980 made several major changes in this program including: significant expansion of student loan limits, the addition of several new deferment and grace periods, increased borrower interest rate (generally, from 7 to 9 percent), expansion of the cost basis for guarantee agency allowances, creation of new "last resort" lending mechanisms to assure loan availability, and creation of a new guaranteed, non-need based Parent Loan program which does not carry the interest benefit subsidy.

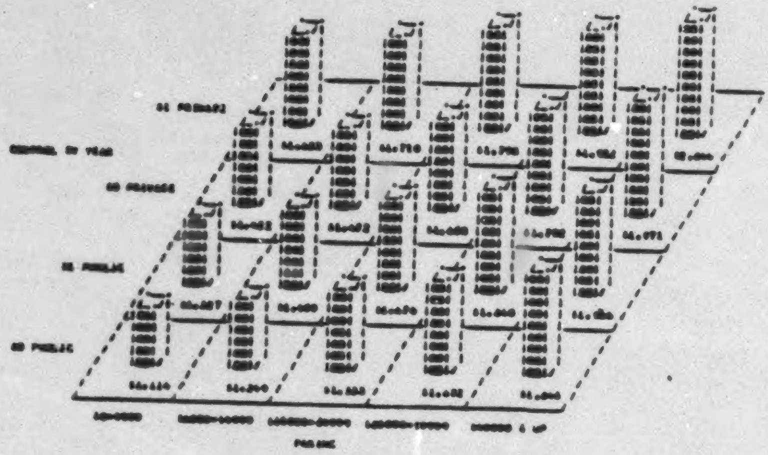
The Budget Reconciliation Act of 1981 has: (1) re-named and expanded the new less-subsidized Auxiliary (PLUS) Loan program to include graduate and independent students, as well as parents of dependent undergraduates, and raised the interest rate on these loans from 9 to 14 percent (or 12 percent depending on the money market), (2) imposed a need analysis limitation on loans to students with adjusted gross family incomes above $30,000 and (3) created a 5 percent student loan "origination fee" to help offset Federal interest subsidy payments.

Program Scope:

Loan volume in 1981 amounted to almost $7.8 billion, over five times (500%) the level in 1977. College enrollment over this period grew by. Since the first loan was provided in 1966, over $29 billion has been provided to student and parent borrowers; $7 billion through the Federal program (FISLP) and $22 billion through the State Guarantee Agencies. As intended by Congress, almost all states are now served by state or private nonprofit guarantee agencies and 90 percent of new loan volume was insured under such programs in FY 1981. Loans are provided to students attending 3,581 eligible schools of higher education, 3,289 vocational, technical, business, and trade schools, and 856 foreign educational institutions.

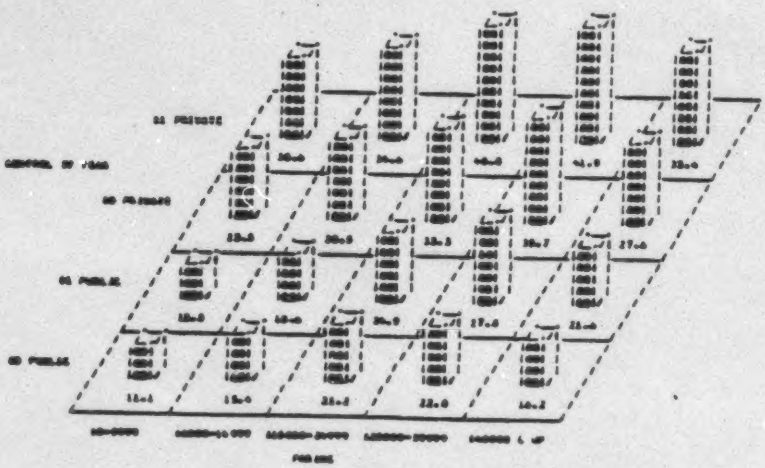
GRAPH 1

AVERAGE GSLP AWARD BY CONTROL OF INSTITUTIONS AND BY FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-1981



GRAPH 2

PARTICIPATION RATES IN GSLP PROGRAM BY INSTITUTIONAL CONTROL AND FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-1981



SOURCE: U.S. Department of Education, Cooperative Institutional Research Program Data Bank 1980, 1981

In Fiscal Year 1981, an estimated 17,000 institutions were approved and making loans. These lenders made 236,000 federally insured loans as well as 2,078,000 guarantee agency insured loans, for a total of 2,314,000 loans committed. The average loan committed was $2,197. Loan volume is projected at $8.7 billion for FY 1982, with an average student loan of $2,260 (Table 1).

Of the total Fiscal Year 1981 expenditures, $1.557 billion or 61 percent was for payment of interest and special allowance. Of total Fiscal Year 1982 expenditures (estimated at $2.752 billion) 86% will be for the interest subsidies and special allowance reflecting the high cost of money. For FY 1983 the amount is estimated at $2.4 billion.

Program Effectiveness and Progress:

Participation in the GSL program continued to increase sharply during FY 1981. Increases were evident for all income categories but were particularly pronounced at private colleges and universities. For example, program participation for full-time Freshmen in the two highest income categories ($25,000-39,000 and $40,000+) increased from 37.4% to 43.7% from 28.1% to 33.8% respectively over the two-year period (see graph 1 and 2). Even those in the two lowest-income groups had rates of 32.5% and 35.9%. At public institutions, where educational costs to students are generally lower, average participation rates are nineteen percentage points lower (19% vs. 37.6%) than for students at private colleges and universities. Furthermore, these rates increased less sharply from 1980 to 1981. For example, in the two highest income groups at public institutions, participation rates rose from 21.6% to 24.5% and from 15.2% to 18.9% over the two-year period. However, unlike the situation at private colleges, students at public institutions utilized GSLP to a much greater extent as family income increased. For example, 24.5 percent of those in the $25,000-39,000 income category borrowed whereas only 11.2 percent of those in the $0-5,999 group borrowed.

Average amounts borrowed also increased sharply in FY 1981 compared with FY 1980. As with participation rates, average loan size generally increased more at private institutions; Borrowers from families with higher incomes borrowed more. For example, in the two lowest income categories, the average loan was $1673 vs. $1460 and $1722 vs. $1466 for borrowers in private institutions over the two-year period. This compares with average loans of $1925 vs. $1788 and $2032 vs. $1953 for those in the two highest income groups at private colleges. These increases averaging about 12 percent were larger than increases in average loan amount at public institutions which averaged about 5.9 percent.

When these increases are compared to lending rates in 1978-79 prior to passage of Middle Income Student Assistance Act (MISAA) (Table 2), an even more dramatic change can be seen. Loans have increased for all groups of students and in particular for these students enrolled in high cost institutions. In 1981-82 loans made up almost 30 percent of total costs for 40 percent of the students compared with 26 percent of the cost for 16 percent of the students in 1978-79.

Table 1

Guaranteed Student Loan Program History
1977 to 1982

	1977	1978	1979	1980	1981	Projected under current law 1982
Loan Volume ($ in millions)	$1,470	$1,648	$2,250	$4,840	$7,762	$8,707
Recipients (in thousands)	973	1,085	1,510	2,314	3,533	3,852
Appropriation ($ in millions)	$ 357	$ 480	$ 945	$1,609	$2,535	$2,752
Mean Loan ($ in dollars)	$1,580	$1,805	$1,976	$2,092	$2,197[1]	$2,260[1]

---

[1] These totals include estimates for student as well as auxiliary loans. In FY 1981 only 11,000 loans were made totaling $27 million. It is expected that in FY 1982 almost 700,000 loans and be provided totaling almost $1.7 billion.

SOURCE: U.S. Department of Education - OSFA Program Files

Table 2

Analysis of Guaranteed Student Loan Program Impact for First Time Full Time Students 1978, 1981

Program Impact - 1978

—FAMILY INCOME—

Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,999 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	844.	998.	1041.	1255.	1419.	1102.
	% AID	7.37	7.62	7.75	7.87	3.99	6.71
	RATIO	33.37	39.10	40.41	48.45	54.34	42.75
3001-5000	AVG $	1145.	1237.	1460.	1572.	1644.	1458.
	% AID	13.09	15.68	16.73	15.74	7.90	12.94
	RATIO	32.43	35.28	41.63	45.51	47.20	41.83
5001 +	AVG $	1226.	1301.	1428.	1526.	1662.	1492.
	% AID	19.40	21.61	22.38	22.93	10.23	15.98
	RATIO	21.78	23.06	25.20	26.71	28.31	25.84
TOTAL	AVG $	1053.	1180.	1349.	1494.	1612.	1380.
	% AID	10.72	12.51	13.53	13.53	7.19	10.93
	RATIO	32.97	36.19	40.71	44.32	43.76	40.26

Program Impact - 1981

—FAMILY INCOME—

Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,000 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	1333.	1503.	1711.	1772.	1880.	1708.
	% AID	8.59	8.84	12.47	14.10	10.41	10.92
	RATIO	54.10	58.41	65.59	66.45	70.65	65.51
3001-5000	AVG $	1469.	1581.	1790.	1987.	2031.	1861.
	% AID	20.02	28.10	29.78	32.27	27.85	27.83
	RATIO	37.39	39.81	44.76	49.30	50.03	46.34
5001 +	AVG $	1784.	1849.	1940.	2056.	2190.	2054.
	% AID	34.44	39.79	42.77	45.90	38.83	40.20
	RATIO	27.08	27.86	28.85	30.04	29.54	29.10
TOTAL	AVG $	1554.	1664.	1831.	1993.	2090.	1920.
	% AID	19.91	25.30	29.21	32.14	28.61	27.84
	RATIO	38.26	39.29	42.41	46.02	42.73	42.45

AVG - Total amount awarded/all recipients in cell
% AID - Students receiving GSLP/all students in cell
RATIO - Total amount awarded per recipients in cell/cost of education

SOURCE: U.S. Department of Education, Cooperative Institutional Research Program Data Bank 1978-1981

Table 3

Joint Participation of GSLP Recipients and Other ED Administered Financial Aid Programs

	FALL 1980	FALL 1981
GSL/PELL	37.1	33.4
GSL/SEOG	11.6	9.4
GSL/CWSP	22.4	19.3
GSL/NDSL	10.8	8.6

SOURCE: Developed by ED/OPBE from Cooperative Institutional Research Program Data Bank, ACE/UCLA 1980, 1981

Another indication of the enlargement of participation in GSLP over this period is the 40.6 percent jump in the median family income of GSLP participants compared with 28.5 for all college students. Thus the distribution not only enlarged but it included larger numbers of students from high income families.

When students participation in the GSL and other financial aid programs in 1980 and 1981 was compared, in all instances the joint participation rate declined (Table 3) suggesting that an increasing numbers of new borrowers have no other federal aid.

The significant increase in the popularity of the GSLP program in recent years attests to its recgnition as a unique and important program. This very popularity, however, has also substantially increased the cost to the program to the Federal government; both participating and cost have tripled in four years.

Current Analtyic Activities:

The following studies are continuing and are scheduled for completion late in Fiscal Year 1982:

(1) Parent Survey Component of High School and Beyond (Base Year Data Collection)

This survey collected data from a nationally representative sample of 5,000 parents of high school seniors. The high school seniors were surveyed and it is expected that these same students and their parents will be surveyed again two years later. The data collected by the parent survey related to parental knowledge about postsecondary schooling options (offerings, costs, and the availability of financial aid), parental plans and actions to finance their children's education, family demographics, and social and financial characteristics.

Sources of Evaluation Data:

Cooperative Institutional Research Program, University of California at Los Angeles, 1982.

Cooperative Institutional Research Project (CIRP), 1980 Report

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: David Bayer, 245-9717.

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Direct Student Loan Program (CFDA No. 84.038)

Legislation:

Title IV, Part E of the Higher Education Act of 1965, enacted by Public Law 89-329, as amended. PL. 94-482 and PL. 96-374 1/

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization 2/	Appropriation 3/
	1966	$179,300,000	$181,550,000
	1967	190,000,000	192,000,000
	1968	225,000,000	193,400,000
	1969	210,000,000	193,400,000
	1970	325,000,000	195,460,000
	1971	375,000,000	243,000,000
	1972	375,000,000	316,600,000 4/
	1973	400,000,000	292,970,000 5/
	1974	400,000,000	298,000,000
	1975	400,000,000	329,440,000
	1976	400,000,000	331,960,000
	1977	400,000,000	323,220,000
	1978	400,000,000	325,660,000
	1979	400,000,000	328,900,000
	1980	400,000,000	300,800,000
	1981	400,000,000	200,800,000
	1982	286,000,000	193,360,000(per 4th Cont. Res.)

1/ Prior to FY 1973, the program was known as the National Defense Student Loan Program under Title II under the National Defense Education Act of 1958 as amended (Public Law 85-864).

2/ Authorization for Federal capital contributions to loan funds only. In addition, a total of $25,000,000 was authorized for loans to institutions from Fiscal Year 1959 up to a maximum of $25 million.

3/ Appropriation includes contributions to loan funds, loans to institutions, and Federal payments to reimburse institutions for teacher/military cancellations.

4/ Actual Fiscal Year 1972 appropriation was $316,600,000. However, $23.6 million was mandated to be used during Fiscal Year 1973. The difference of $293.0 million was made available for use during Fiscal Year 1972, of which $286 million was for contribution to loan funds.

5/ Of this amount $269,370,000 per program book of 11-14-78 was available for use in Fiscal Year 1973 and $23,600,000 was mandated for Fiscal Year 1974.

Program Goals and Objectives:

The objective of the program is to allocate funds to postsecondary institutions for the purpose of making long-term, low-interest loans to students with financial need. Those loans provide lower-income students with an additional source of funds for access to postsecondary education and to provide middle-income students with an additional source of funds with which to choose more expensive institutions. Such loans complement other forms of student financial assistance such as Pell Grants and Supplemental Educational Opportunity Grants, Work-Study, and Guaranteed Student Loans.

Program Operations:

Funding is initially allotted to States by means of an allotment formula and by regulation. Prior to FY 1979 funding levels for institutions within each State were recommended by regional review panels consisting of Program Officers from the regional and national offices and financial aid officers selected from institutions in that region. Recommended funding levels were generally in excess of the annual NDSL allotment for a State. In certain cases, the entire group of institutions within a State received less than 100 percent of their panel approved amount. However, each institution within that group received a pro-rated reduction in its allocation which, in percentage, was equal to that of every other institution in the State. Currently, each institution receives the larger of a "conditional guarantee" based on its program expenditures or a "fair share" determined by formula. Institutions often distribute NDSL's in conjunction with other forms of finanical aid and financial aid officers "package" these various aid components in different ways depending on available funds and student circumstances.

Students may borrow a total of: (a) $3,000 if they are enrolled in a vocational program or if they have completed less than two years of a program leading to a bachelor's degree; (b) $6,000 if they are undergraduate and have already completed two years of study toward a bachelor's degree (this total includes any amount borrowed under the NDSL for the first two years of study); (c) $12,000 for graduate or professional study (this total includes any amount borrowed under the NDSL for undergraduate study). Before leaving the institution, students sign a repayment schedule which specifies the duration and amount of repayment. After a six-month grace period following cessation of studies, the student begins repayment (on a monthly, bimonthly, or quarterly basis), normally over a ten-year period. The borrower's repayment period may be deferred not to exceed three years for service as a volunteer with VISTA, the Peace Corps, as a volunteer in a tax-exempt organization performing service comparable to VISTA or Peace Corps, for military service or for service as an officer in the Commissioned Corps of the U.S. Public Health Service. Repayment may also be deferred during a period not to exceed three years during which the borrower is temporarily totally disabled or is unable to secure employment because he or she is providing care required by a spouse who is so disabled. Two year deferments are granted to borrowers who are serving internships required to begin professional practice or service. A percentage of the total loan amount may be cancelled for individuals providing special services in specific teaching areas and for members of the Armed Forces of the United States' serving in areas of hostility.

Program Scope:

In Fiscal Year 1981, about 3,500 institutions including a number of proprietary institutions participated in the NDSL program. The law however, provides limits on the aggregate amount which can be allocated to proprietary institutions. The total allocation of Federal Capital Contribution to such institutions may not exceed the difference between $190 million and the total appropriation. Of the total Fiscal Year 1981 NDSL expenditure of $711 million, $357 million, or 50.2 percent of total loan funds, will be utilized by public colleges and $273 million, or 38.4 percent will be utilized by private 4-year institutions. Proprietary institutions are expected to utilize 11.4 percent or 81 million of total available funds. (Table 1) It is estimated that the average loan in Fiscal Year 1981 was $826. Preliminary data for academic year 1981-82 show that $19.0 million in prior loans will be cancelled under the Part E statutory provisions.

The Federal Capital Contribution for Fiscal Year 1981 was $186 million. NDSL award expenditures was estimated to be $711 million. The difference between expenditure levels and FCC represents the cash available for new loans from repayment of loans made to borrowers in previous years plus the institutional matching share for new FCC. This cash flow from prior repayments amounted to $463 million in FY 1981. (Table 2) Federal payment for administrative expenditures by institutions are estimated at 26.8 million for FY 1981 down from $28.4 million on FY 1979 reflectng an part the reduction in total loan funds available over this period (estimated at $65. million)

Program Effectiveness and Progress:

Average NDSL amounts increased for borrowers at most types of institutions and across most categories of family income during Academic Year (AY) 1981-82. At private colleges and universities the unweighted average loan was $1220 in AY 1981-82 and $1153 in FY 1980-81, an increase of 5.8% in the average loan amount. In public institutions the average loan was $1101 in AY 1981-82 and $1049 in AY 1980-82, an increase of 5.0%. However, the percentage of students receiving loans dropped for most income groups at both public and private institutions. For example, in AY 1981-82, 13.8% of all students at private institutions received an NDSL whereas in AY 1980-81 that percentage was 17.3. In public colleges and universities, the comparable participation rates were 6.6 percent in AY 1981-82 and 7.7 percent in AY 1980-81. Although private college students utilized the NDSL program much more often than students at public institutions, the reduction in their utilization rate during AY 1981 was three times (3.5 percentage points) the reduction for public college students (1.1 percentage points). (Graphs 1 and 2)

Table 1

National Direct Student Loan Program
Expendition Recipients and Average Award
by Type of Institution 1981, 1982

Type of Institution	1980-81			1981-82		
	Expenditures (000)	Number of Recipients	Average Award	Expenditures (000)	Number of Recipients	Average Award
PUBLIC						
4 YEARS	321,667	400,831	803			
2 YEARS	34,998	60,425	578			
PRIVATE						
4 YEARS	262,628	315,452	831			
2 YEARS	10,374	14,540	713			
PROPRIETARY	81,200	68,844	713			
TOTAL	710,817	860,552	826			

SOURCE: U.S. Department of Education - Fiscal Operations Reports
1980-81, 1981-82

Table 2

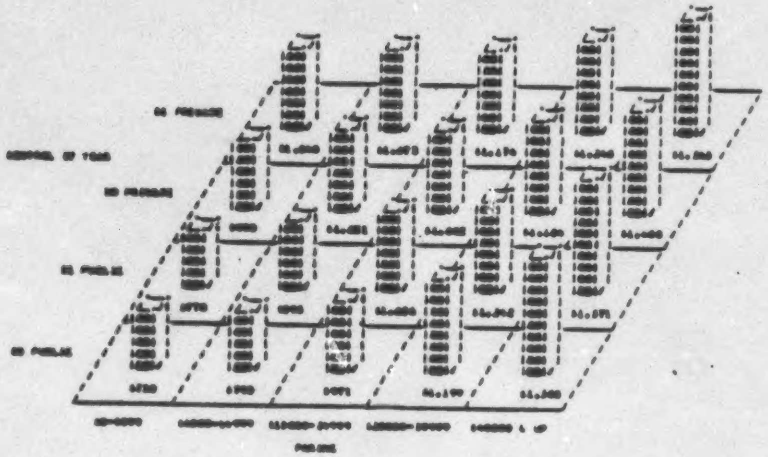
NDSL - Selected Program Statistics
1978-77 to 1980-81

	FY 79 7/79-6/80	FY 80 7/80-6/81 (est.)	FY 81 7/81-6/82 (proj.)
Federal Capital Contribution (In $000)**	$ 308,708	$ 286,000	$ 186,000
Institutional Capital Contribution (In $000)	34,301	31,778	20,667
Collections (In $000)	382,646	420,910	463,000
Reimbursements for Cancellations (In $000)	12,000	16,000	19,000
Carryover (In $000)	126,801	110,000	100,000
Less Administrative Expenses (In $000)	(28,425)	(28,433)	(26,786)
Total Loan Funds Available (In $000)	$ 836,031	$ 836,255	$ 761,881
Total Funds Utilized (In $000)	$ 645,689	$ 710,817	$ 647,598
Total Number of Recipients	953,190	860,552	780,238
Average Loan	$ 667	$ 826	$ 830
Number of Institutions Participating	3,274	3,222	3,500

** Does not include funds appropriated for Loans to schools and Reimbursement for cancellation. Does not include funds reserved for SSFAT Program.

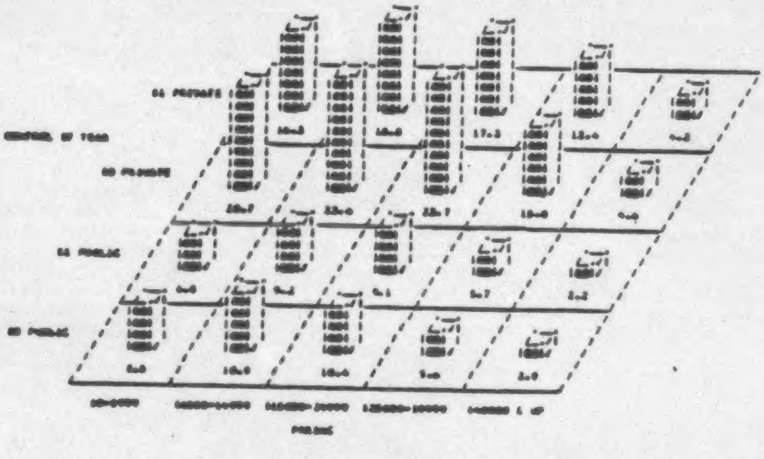
GRAPH 1

PARTICIPATION RATES IN NDSL PROGRAM BY INSTITUTIONAL CONTROL AND FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-1981



GRAPH 2

AVERAGE NDSL AWAR[illegible]Y CONTROL OF INSTITUTIONS AND BY FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-81



SOURCE: U.S. Department of Education, Cooperative Institutional Research Program Data Bank 1980, 1981

Table 3

Analysis of National Direct Student Loan Program Impact for First Time Full Time Students 1978, 1981

Program Impact - 1978

—FAMILY INCOME—

Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,000 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	623.	617.	772.	907.	1017.	743.
	% AID	726.	6.99	6.27	3.39	1.71	4.89
	RATIO	24.66	24.17	29.97	35.02	38.98	28.82
3001-6000	AVG $	726.	860.	903.	1109.	1125.	920.
	% AID	16.17	16.23	13.24	7.89	2.94	9.28
	RATIO	20.57	24.48	25.93	32.11	32.30	26.39
6001 +	AVG $	899.	896.	959.	1013.	1073.	986.
	% AID	34.19	34.06	29.25	20.66	5.08	16.48
	RATIO	15.97	15.87	16.91	17.74	18.28	16.73
TOTAL	AVG $	732.	810.	887.	1046.	1090.	892.
	% AID	13.21	13.59	11.87	7.56	2.98	8.51
	RATIO	22.93	24.83	26.77	31.05	29.59	26.02

Program Impact - 1981

—FAMILY INCOME—

Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,000 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	911.	1235.	1137.	1343.	1483.	1197.
	% AID	3.45	3.29	2.81	3.51	1.17	2.50
	RATIO	36.99	47.98	43.60	50.38	55.73	45.90
3001-6000	AVG $	913.	990.	1157.	1318.	1556.	1196.
	% AID	9.42	10.60	10.06	7.41	4.04	7.44
	RATIO	23.24	24.93	28.92	32.70	38.33	29.80
6001 +	AVG $	1087.	1099.	1161.	1239.	1438.	1227.
	% AID	22.01	21.65	20.01	16.45	7.52	13.78
	RATIO	16.50	16.56	17.27	18.11	19.39	17.38
TOTAL	AVG $	981.	1049.	1158.	1286.	1494.	1209.
	% AID	10.29	11.37	10.80	8.77	4.68	8.13
	RATIO	24.14	24.76	26.81	29.06	30.56	26.74

AVG - Total amount awarded/all recipients in cell
% AID - Students receiving NDSL/all students in cell
RATIO - Total amount awarded per recipients in cell/cost of education

SOURCE: U.S. Department of Education, Cooperative Institutional
Research Program Data Bank 1978-1981

Table 4

Joint Participation of NDSL Recipients and
Other ED Administered Programs 1980, 1981

NDSL and Other AID	FALL 1980	FALL 1981
NDSL/PELL	54.6	58.1
NDSL/SEOG	27.7	28.5
NDSL/CWSP	37.7	41.3
NDSL/GSL	20.8	28.4

SOURCE: Developed by ED/OPBE from Cooperative Institutional Research Program Data Bank ACE/UCLA 1980, 1981

Table 3 provides data from 1978-79 and 1981-82. In both years the average amount of loan awards generally increases with income while program utilization generally decreases as income rises. For example, in 1981-82 the average loan for the lowest income borrowers attending high cost institutions was $1087 and for borrowers in the highest income category, $1438, a difference of 33 percent in the amount of the loan. However, the number of lower-income borrowers is three times as great as the number of higher-income borrowers. Although both lower and higher income borrowers face similar costs at identical institutions, lower income borrowers are generally eligible for large amounts of other aid, thereby requiring smaller average NDSL awards. Table 3 provides a comparison of these awards for 1978-79 and 1981-82. Of most interest is the apparent consistency in funding patterns for first time full time students. While the mean award increased from about $900 to $1200 compared to an estimated $700 for all students the number aided fell only slightly. NDSL continued to account for about a quarter of all college costs for these students. There has also been a slight increase in NDSL participation for students at income levels of about $25,000.

While some of the shift in NDSL participation rates to higher income groups can be explained by wage inflation overall the median income of NDSL participants shifted upwards by almost six percent compared to the median income for all college students. Thus assuming an overall shift in the participation rate by income students from the higher income groups have increased their participation by almost six percent. Finally, NDSL recipients were also more likely to participate in one or more of the four other ED administered programs than those students participating in the other programs. The greatest increase in joint participation came in GSLP with 40 percent more students (up to 28.4%). The greatest joint rate, however, was with the Pell Grant Program with six out of ten NDSL students also getting a Pell Grant. Finally four out of ten NDSL students also were in the Work Study Program. (Table 4)

Current Analytic Activities:

Student financial aid data collection on NDSL recipients for first time full time students will continue through the Cooperative Institutional Research Program (CIRP) for the Fall of 1982. An institutional survey is also planned for the Fall of 1982 through the Higher Education Panel.

Sources of Evaluation Data:

Cooperative Institutional Research Program (CIRP), University of California at Los Angeles, 1978, 1980, 1981.

Program files, Office of Postsecondary Education.

For further information about program operations,

Contract: Margaret Henry, 245-9720

For further information about program effectiveness,

Contract: Daniel Morrissey, 245-8281

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Work-Study Program (CFDA No. 84.033)

Legislation:

Public Law 88-452, 78 Stat. 515, as amended by Public Law 89-329 the Higher Education Act of 1965, Title IV-C; PL. 94-482; and P.L. 96-374

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation 1/
1965	2/	$ 55,710,000
1966	$129,000,000	99,123,000
1967	165,000,000	134,100,000
1968	200,000,000	139,900,000
1969	225,000,000	139,900,000
1970	275,000,000	152,460,000
1971	320,000,000	158,400,000 3/
1972	330,000,000	426,600,000 4/
1973	360,000,000	270,200,000
1974	390,000,000	270,200,000
1975	420,000,000	420,000,000
1976	420,000,000	390,000,000
1977	450,000,000	420,000,000
1978	570,000,000	435,000,000
1979	600,000,000	550,000,000
1980	630,000,000	550,000,000
1981	670,000,000	550,000,000
1982	670,000,000	528,000,000 (4th Cont. Res.)

1/ Up until Fiscal Year 1972, the CWS Fiscal Year appropriation was used to fund program operations during the calendar year. With Fiscal Year 1972, the program became one full year forward-funded.

2/ The Economic Opportunity Act of 1964 authorized a lump sum of $412,500,000 for three youth programs including College Work-Study.

3/ Actual funds available for CWS in this year amounted to $199,700,000, including reprogrammed funds.

4/ Includes $244,600,000 forward funding for Fiscal Year 1973, plus a supplemental of $25,600,000. A total of $237,400,000 was available for use during Fiscal Year 1972 from a combination of Fiscal Year 1971 and Fiscal Year 1972 appropriations.

Program Goals and Objectives:

The objective of the College Work Study Program (CWS) is to stimulate and promote the part-time employment of students in need of earnings at eligible institutions.

Program Operations:

Under authorizing legislation, employment partially financed by Work-Study funds is made available in public or private non-profit organizations in which a student is enrolled. CWS awards are based on the financial need of the applicant.

Grants are made to higher education institutions for partial reimbursement of wages paid to students. Since August 1968, these Federal grants have covered up to 80 percent of student wages, with the remainder paid by the institution, with its own funds or contributions from the employer, or some other donor.

One percent of each year's appropriation is reserved for Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands. A portion is also reserved for students from American Samoa/Trust Territories who attend eligible institutions of postsecondary education outside Samoa or the Trust Territory. The rest is allotted, by formula, among the 50 States, the District of Columbia, Northern Mariana Islands, and Puerto Rico, 53 areas. The formula is based on three factors:

(1) The number of full-time higher education students in each area relative to the total number of students for the 53 areas.

(2) The number of high school graduates in each area relative to the total number for the 53 areas.

(3) The number of related children under 18 years of age living in families with income of less than $3,000 in each area relative to the total number of related children under 18 in such families in in such families in the 53 areas.

Program Scope:

The CWS program in FY 1982 provided approximately 880,000 students with earnings. The Federal share combined with the private share of 20 percent provided $526,087,000 in earnings. Another $63,130,000 was available for job location services and administrative expenses at institutions.

Data from the fiscal operations report show that during FY 1982 (see Table 1), CWS funds were distributed to institutions as follows: Public universities, and other four-year institutions, 41.7 percent; public two-year, 16.0 percent; private universities and other four-year private; 35.7 percent; private two-year, 2.8 percent; and proprietary, 3.7 percent. About ninety percent of the funds went to undergraduates while the remainder was awarded to students at the postbaccalaureate level.

e 1

COMPARISON OF ALLOCATION 1978-79, 1979-80 and 1980-81

COLLEGE WORK-STUDY PROGRAMS

(dollars in thousands)

	Allocation 1978-1979 Award Year $$	Allocation 1979-1980 Award Year $$	Allocation 1980-1981 Award Year $$	Allocation 1981-1982 Award Year $$	% inc/decr 78-79 79-80	% inc/decr 79-80 80-81	% inc/decr 80-81 81-82	Allocation As A Percent of Total 78-79	79-80	80-81	81-82
U.S. TOTAL	430,000	547,023	547,722	545,999	26.1	0.1	-0.3	100	100	100	100
STATE TOTAL											
PUB 4-YR	200,406	235,730	232,997	227,593	17.6	-1.2	-2.4	46.2	43.1	42.5	41.7
PUB 2-YR	82,410	93,190	90,642	87,725	18.1	-2.7	-3.3	19.0	17.0	16.5	16.0
PRI 4-YR	132.064	194,344	190,320	194,011	46.3	2.10	-1.0	30.6	35.5	36.2	35.7
PRI 2-YR	10,454	15,178	15,104	15,406	45.2	-	2.0	2.4	2.8	2.8	2.8
PROP	7,650	8,500	10,571	20,383	12.0	23.2	48.1	1.8	1.6	2.0	3.7

Source: Office of Student Financial Aid; ED

Table 1 also displays the percentage of awards going to different groups of institutions in FY 1978-79 and FY 1981-82. During FY 1981-82 private institutions received a greater percentage of funds and the public institutions a smaller percentage compared with FY 1979. In part, the changes in the distribution of funds among institutions is based upon a new system of allocating funds within States which is more closely tied to the financial needs of students in each applicant's school.

Program Effectiveness and Progress:

The program is popular with postsecondary institutions both as a student aid program and as a means of providing a broad range of worthwhile work experiences for students. CWS recipients provide necessary services at a subsized price to schools which found it to their advantage to request maximum CWS funding. The limited number of CWS eligible employment opportunities at proprietary schools results in a low rate of CWS participation for these schools.

CWS provides students with a source of income to assist them in financing their college costs. Table 2 provides detailed information on the distribution of these funds by cost of college and family income, for mean amount per recipient, percentage of students participating, and the percentage which CWS earnings are of total cost. In 1978 the average award per recipient is amounted to $568 compared to $713 in 1981. This represented 15.7% of cost per recipient in 1978 compared with 17% in 1981. Also CWS funds are distributed on the basis of need which takes into account family income and the cost of college. Earnings of CWS recipients is proportional to their cost of education. In 1981 there was an upward shift in the funds available to students in the highest priced institutions which was consistent with the increase in funding in the private sector noted above in Table 1.

More recent data for FY 1980-81 and 1981-82 compare freshmen average awards and participation rates for public and private institutions by family income. The average College Work-Study award for first time full-time Freshmen recipient during FY 1982 was $729. Awards were moderately higher in Academic Year (AY) 1982 than in AY 1981 for recipients at both public and private institutions. For example, the average award at private colleges and universities was $811 in AY 1982 and $759 in AY 1981, an increase of 6.9 percent. At public institutions the average award was $663 in AY 1982 and $633 in AY 1981, an increase of 4.7 percent.

Detailed comparisons of awards by income class and control of institution are shown in Graph 1. Here we see that as in Table 2 the differences in average CWS awards vary only slightly across income groups. For example, at private institutions recipients in the lowest income category had average awards of $779 in FY 1982, while for those in the highest income category the average award was $836. In public institutions, average award differences between the lowest and highest income recipients was somewhat larger, $624 vs. $693. Award levels vary by public and private sector reflecting differences in costs and their award levels.

Table 2

Analysis of College Work Study Program
Impact for First Time Full Time
Students 1978, 1981

Program Impact - 1978

—FAMILY INCOME—

Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,000 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	508.	494.	512.	520.	566.	513.
	% AID	16.12	12.67	9.53	5.49	3.10	8.61
	RATIO	28.10	19.33	19.89	20.07	21.66	19.90
3001-6000	AVG $	524.	538.	563.	578.	598.	556.
	% AID	23.90	19.96	15.38	9.11	4.08	11.63
	RATIO	14.83	15.33	16.15	16.74	17.17	15.96
6001+	AVG $	640.	661.	669.	640.	628.	647.
	% AID	42.60	42.20	37.34	28.98	7.95	21.96
	RATIO	11.37	11.71	11.62	11.20	10.66	11.21
TOTAL	AVG $	536.	549.	572.	586.	601.	566.
	% AID	21.47	18.57	15.04	9.58	4.53	11.79
	RATIO	16.78	16.84	17.26	17.37	16.31	16.50

Program Impact - 1981

—FAMILY INCOME—

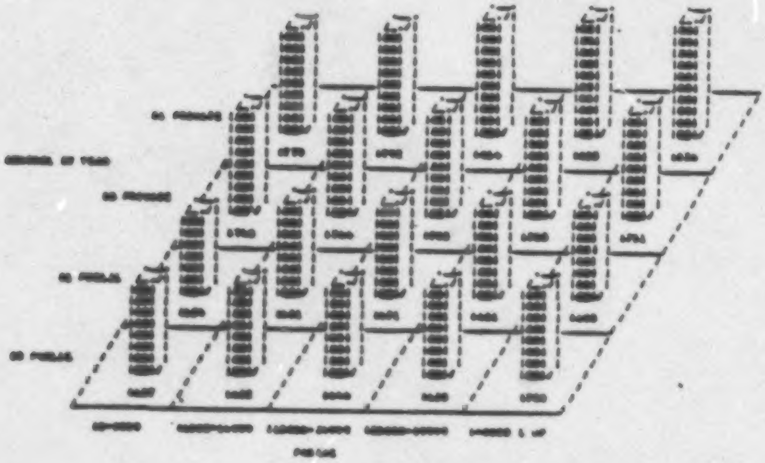
Cost of Education ($)		LESS THAN $9,999	$10,000 THRU $14,999	$15,000 THRU $24,999	$25,000 THRU $29,999	$30,000 OR MORE	TOTAL
0-3000	AVG $	586.	607.	578.	599.	598.	606.
	% AID	14.90	11.10	8.37	4.98	2.28	7.27
	RATIO	24.20	25.93	22.16	22.47	22.47	23.23
3001-6000	AVG $	602.	624.	674.	688.	676.	649.
	% AID	17.68	15.64	12.16	9.01	4.68	9.96
	RATIO	15.33	15.72	16.85	16.34	16.88	16.17
6001 +	AVG $	793.	803.	795.	799.	805.	799.
	% AID	36.26	36.15	33.35	28.19	12.58	23.03
	RATIO	12.03	12.10	11.82	11.67	10.86	11.32
TOTAL	AVG $	663.	702.	719.	725.	746.	713.
	% AID	20.41	19.02	16.01	12.64	6.78	12.75
	RATIO	16.32	16.56	16.64	16.38	15.28	15.76

AVG - Total amount awarded/all recipients in cell
% AID - Students receiving CWSP/all students in cell
RATIO - Total amount awarded per recipients in cell/cost of education

SOURCE: U.S. Department of Education, Cooperative Institutional Research Program Data Bank 1978-1981

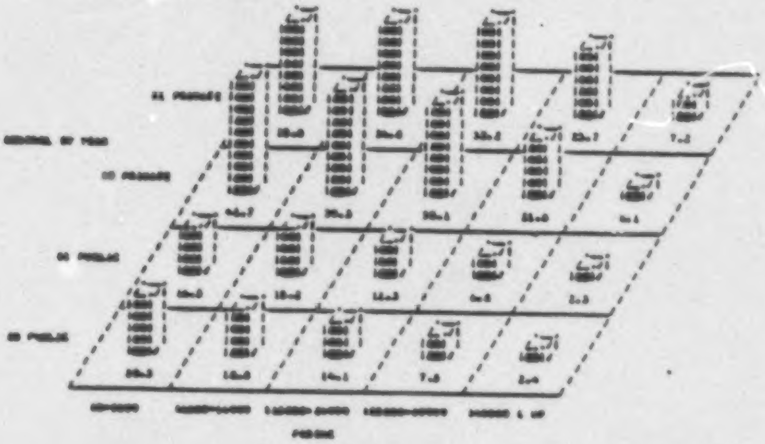
GRAPH 1

AVERAGE CWS AWARD BY CONTROL OF INSTITUTIONS AND BY FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-81



GRAPH 2

PARTICIPATION RATES IN CWS PROGRAM BY INSTITUTIONAL CONTROL AND FAMILY INCOME FOR FIRST TIME FULL TIME STUDENTS 1980-1981



SOURCE: U.S. Department of Education, Cooperative Institutional Research Program Data Bank 1980, 1981

Table 3

Joint Participation of CWSP Recipients and Other ED Administered Aid Programs 1980, 1981

CWSP and Other Aid	FAll 1980	FALL 1981
CWSP/PELL	68.9	61.5
CWSP/SEOG	29.5	24.4
CWSP/NDSL	29.2	26.2
CWSP/GSL	31.7	40.7

SOURCE: Developed by ED/OPBE from Cooperative Institutional Research Program ACE/UCLA 1980, 1981

CWS participation rates (as noted in Graph 2) generally dropped across all institutional and family income categories between FY 1980-81 and 1981-82. A much larger percentage of students from lower-income families participate in CWS than the percentage of students from higher-income families. However, a smaller percentage of these lower-income students received CWS during FY 1981-82. For example, in that year 33.8 percent of the lowest income group received awards while in FY 1980-81 the comparable figure was 41.7 percent. Similarly, in public institutions, where 20.3 percent of the lowest-income received awards in FY 1980-81, only 16.5 percent of that. However there appeared to be little shifting of aid to students from higher income families as participation rates for higher income levels, while mixed, remained essentially the same. This pattern appears to consistent with earlier periods (Table 2) as the median family income of program participates, from 1978-79 to 1981-82, increased at the same rate as the median family income for the college population as a whole.

Another factor of importance in determining programs effectiveness are the number of other aid programs a CWS recipient obtains assistance. Table 3 indicates that most freshmen CWS students not only obtain a Pell Grant but 4 in 10 participate in GSLP and over 1 in 4 in the NDSL program. Analysis of the data indicates that the joint participation ratios are close to double for students in private institutions when compared to public schools. Over the 1980-81 to 1981-82 time period joint participation rates dropped in all programs except GSLP where it increased by almost a third.

Current Analytic Activities:

Student financial aid data collection on CWS recipients for first time full time students will continue through the Cooperative Institutional Research Program for the Fall of 1982. An institutional survey is also planned for the Fall of 1982 as part of a Higher Education Panel Survey.

Sources of Evaluation Data:

Cooperative Institutional Research Program, University California at Los Angeles, 1982.

Program files, Office of Postsecondary Education.

For further infomaton about program operations,

Contact: Robert Coates, 472-2840.

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Upward Bound Program (CFDA No. 84.047)

Legislation:

Higher Education Act of 1965. Title IV-A Subpart 4; Sec. 417 C Public Law 89-329; as amended by Public Law 90-575; Public Law 91-230; Public Law 92-318; Public Law 94-482; Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1965	1/	1/
	1966	1/	1/
	1967	1/	1/
	1968	1/	1/
	1969	1/	1/
	1970	$ 56,680,000 2/	$29,600,000
	1971	96,000,000 2/	30,000,000
	1972	96,000,000 2/	31,000,000 3/
	1973	100,000,000 2/	38,331,000
	1974	100,000,000 2/	38,331,000
	1975	100,000,000 2/	38,331,000
	1976	100,000,000 2/	38,331,000
	1977	200,000,000 2/	41,500,000
	1978	200,000,000 2/	50,034,000
	1979	200,000,000 2/	61,000,000
	1980	200,000,000 2/	62,500,000
	1981	200,000,000 2/	66,500,000
	1982	165,000,000 2/	63,840,000
	1983	165,000,000 2/	24,875,000 (Budget request)

1/ There were no specific authorizations or appropriations for Upward Bound during these years. This was an OEO agency allocation made from the total appropriations for Title II-A of the Economic Opportunity Act of 1964.

2/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers (up to FY 1982), and the Training Program.

3/ Excludes $4 million supplemental appropriation for Veterans' projects.

Program Goals and Objectives:

The Upward Bound Program is intended for youths from low-income families who have academic potential, but who may lack adequate secondary school preparation, including those students whose inadequate secondary school preparation is a result of severe rural isolation. 4/ Without the intervention of the program, these students would not have considered college or other postsecondary education, nor would they have been likely to have gained admission to or successfully completed college or other postsecondary education. The program is designed to generate skills and motivation necessary for success in education beyond high school. The goal of the program, as stated in the regulations, is to increase the academic performance and motivational levels of eligible enrollees so that such persons may complete secondary school and successfully pursue postsecondary education programs.

The General Accounting Office (1974) study of Upward Bound found a lack of measurable objectives that clearly stated the expected end results of the program for student performance. GAO observed that local project objectives were usually vague and did not express in a measurable way changes expected in students' academic skills and motivation.

Program Operations:

Upward Bound looks for the individual with academic potential (a demonstrated aptitude) for postsecondary education, but whose inadequate high school preparation prevents meeting conventional requirements for admission to a college, university, or technical institute. The program is designed to generate skills by means of remedial instruction, altered curriculum, tutoring, cultural exposure, and motivation through encouragement and counseling. In a typical year an Upward Bound student is a resident on a college, university, or secondary school campus for a six-to eight week summer session. In the academic year students may attend Saturday classes or tutorial/counseling sessions or participate in cultural enrichment activities. During their junior and senior years they explores options for the postsecondary program best suited to their needs.

Upward Bound is a discretionary grant program which works primarily through institutions of higher education to provide educational services to disadvantaged youth. The program is administered through the ED central office. As one of the "TRIO" programs, 37 ED staff manage this program, along with five other programs in the Division of Student Services. The program is forward funded and no matching grants are required of grantees.

4/ Public Law 96-374 substantially changed the characteristics of eligible youths. Not less than two-thirds of the individuals participating in a project must be low-income individuals who are also potentially first generation college students and the remaining participants must be either low-income individuals or potentially first generation college students. The description presented reflected Upward Bound in academic year 1980-81.

Program Scope:

In Program Year 1979-80, 412 Upward Bound projects were funded (40 Veterans projects are included in these figures). The grants to projects average $142,776. Preliminary estimates indicate nearly 36,000 students were served by the program. Of these students, 47 percent were males and 53 percent were females. Fifty-seven percent of the clients were black, 14 percent were Hispanic, and 24 percent were white. While detailed client grade distributions are not yet available, the previous year's data (Program Year 1978-79) show that about 36 percent of the clients were in the twelfth grade of high school, 29 percent in the eleventh grade, 22 in the tenth grade, and the remaining 13 percent were in lower grades or were dropouts.

For FY 1980, 559 applications reflecting a demand of $107,202,000 were processed. From these proposals, 437 grant awards were made for the first year of a three-year funding period. Of the 437 projects, 69 were hosted by two-year/junior colleges, 345 by four-year colleges, 4 by vocational/technical schools, 5 by secondary schools, and 14 by agencies. Average cost per project was $143,020, or $1,680 per student, for the 37,210 participants.

In FY 1981, 9 new Upward Bound projects were funded bringing the total number of projects to 446, at an average cost of about $143,139, or $1,765 for the 37,680 student participants.

In 1980-1981, 55% of the clients were Black, 14.4% Hispanic, 2.2% Asian or Pacific Islanders, 4.8% Native Americans and 23.6% of the clients were white.

Program Effectiveness and Progress:

A 1979 evaluation of Upward Bound provided the most comprehensive and scientifically accurate statistics about the program. These statistics were based on a national sample of more than 3,400 Upward Bound students in the tenth, eleventh, and twelfth grades and a comparison group of about 2,000 similar students who did not participate in the program.

The following evaluation findings document the impact of the Upward Bound Program:

- Participation in Upward Bound (UB) failed to increase the rate of high school completion, given tenth grade entry, beyond the 96 percent rate for all students.

- Upward Bound has a large positive influence on postsecondary entrance. About 91% of the typical UB participants entered some type of postsecondary education while about 70% of comparable nonparticipants entered.

- Upward Bound influences the types of institutions entered and the types of individuals who enter. Of the students that entered postsecondary education, about 73% of typical UB participants attended a four-year college or university. The comparable rate for nonparticipants was 50%. Indeed, 22% of the nonparticipants attended a vocational technical school in comparison to 9% of typical UB participants.

- Upward Bound has impact on participants' financial aid. Typical Upward Bound participants more frequently received Basic Educational Opportunity Grants (79 percent vs. 59 percent), Supplemental Educational Opportunity Grants (20 percent vs. 8 percent), National Direct Student Loans (27 percent vs. 10 percent) and College Work-Study while taking courses (29 percent vs. 16 percent). Overall, typical Upward Bound participants received an average of $1,428 in grants and $393 in loans as compared with $389 in grants and $300 in loans for nonparticipants.

- Upward Bound has an impact on participants' usage of supportive services. Typical participants used available tutoring and counseling services more frequently than nonparticipants.

- Overall, UB had a large positive effect on student persistence. Summed over all types of schools, typical UB participants maintain their enrollment for one or more terms than comparable nonparticipants. Controlling for the type of school attended, UB participants persist slightly longer (i.e. one-fifth of a term) than comparable nonparticipants.

- Summed over all types of schools, typical UB participants earned more credits than comparable nonparticipants. However, after controlling for the type of school attended, typical UB participants earned slightly fewer credits than comparable nonparticipants.

- The grades earned at postsecondary institutions by UB participants were roughly the same, or slightly lower, than those earned by comparable nonparticipants. At four-year colleges and universities, average UB participants and comparable nonparticipants earned grade point averages of about 2.0 (equivalent to a letter grade of C).

A management-oriented evaluation of the Special Programs for Disadvantaged Students has recently been completed. A major purpose of this study was to interview policymakers, legislators, and program stakeholders to determine their perceptions of the programs' goals and, if possible, to achieve consensus on the program objectives. There was general agreement about the following objectives for the programs:

- Project participants' motivation to complete secondary education will be enhanced and graduation rates will be increased.

- Application rates to postsecondary institutions by project participants will be increased.

- Project participants' knowledge of realistic postsecondary educational opportunities and financial aid availability will be increased for all programs.

- The numbers of accurate applications for financial assistance submitted and the amounts of finanical aid received by project participants will be increased for all programs.

Site visits-and reviews of the literature on educating disadvantaged students at the postsecondary level showed that the above objectives were plausible.

Other findings of the evaluability assessment are summarized below:

- Few program managers of grantees believe the changed participant eligibility requirements instituted by the Education Amendments of 1980 will have a major effect on program operations. The practical effects of the "first generation college student" and the new "low income" criteria will be to ease the paperwork and administrative burdens on projects and perhaps to make a few more moderate-income students eligible. The basic targeting of the programs on low-income disadvantaged youths is not expected to change appreciably.

- Many grantees, especially those who are new to the programs, expressed concern at the dearth of technical assistance the Department of Education Division of Student Services (DSS) is able to provide on proper grant management procedures and the amount of discretion they have in managing project budgets. The dearth is generally the result of underfunding and understaffing of DSS. For example, the DSS staff has been reduced from almost 60 in 1977 to less than 40 at the present time. During the same period, the number of funded projects has risen from approximately 850 to over 1,260. Similarly, funds allocated to DSS staff travel have been substantially reduced and site visits have been severely curtailed.

- Although many grantees participate in training efforts sponsored by regional professional associations of Special Programs grantees, many still expressed a major need for more and better training in such diverse topics as: the most effective techniques for educating and motivating disadvantaged students; possible techniques for augmenting federal project budgets by obtaining private sector assistance; the "key elements" of successfully managing a project; and possible techniques for involving parents and community groups more effectively in implementing successful outreach efforts.

Talent Search, the Educational Opportunity Centers and the Special Services for Disadvantaged Students Program have functional performance reporting systems that provide accurate and up-to-date information on numbers and characteristics of students served, services provided, and initial outcomes achieved. UB does not yet have such a system because it has been attempting to adapt a student-based management information system developed originally in the 60's by OEO. Current data on more ultimate Special Programs outcomes, such as postsecondary education success for TS, UB, and EOC participants and college graduation for SSDS participants, are available only at the project level. But few policymakers expressed a need for such information, indicating instead they had already been convinced about the programs' value by earlier well-publicized ED-sponsored evaluations.

Based on the findings summarized above and others noted in the final report, the contractor made the following management suggestions for the program managers:

- Remove arbitrary ceilings on proposal budgets for new discretionary grant funding cycles and fund each project based on the demostrated need for services and the adequacy of the plan for providing those services, even if it means funding few projects.
- Clarify the discretion local project directors, especially inexperienced directors, have in managing project expenses.
- Train DSS staff who serve as grants officers to recognize requests for which their approval is not required or can be granted routinely.
- Seek out more opportunities for DSS to communicate regularly with grantees, including traveling to regional professional association meetings, making regular telephone contacts, and preparing regular informative memoranda concerning new policy information or guidance.
- Take steps to encourage the professional development of Special Programs staff, including compiling and widely distributing descriptions of exemplary or innovative practices.
- Terminate the outdated Upward Bound Information System (UBIS) as soon as possible and replace it with an annual performance reporting system modeled on those used by the other Special Programs.
- Encourage prospective applicants for new Special Program grant to coordinate the geographical coverage of their proposed service areas with other prospective applicants in the same area; require elimination of any overlaps in proposed service areas before awarding grants.
- Ensure that DSS receives and maintains copies of up-to-date grantee work statements, documenting the actual numbers of students to be served and the services to be provided.
- Prepare and disseminate widely a short, attractive, and informative brochure suitable for explaining the Special Programs to the general public, especially if more public support will be required to sustain these programs in the future.

The following evaluation suggestion was also made:

The available Special Programs data were found to be sufficient for meeting the needs expressed by most policymakers, legislators, and stakeholders. One notable exception is the availability of suitably reliable and verifiable data for use in measuring degree of past grantee performance, a use mandated by the Education Amendments of 1980 for awarding new grants.

The contractor suggested conduct of a rapid feedback evaluation based on a small representative sample of grantees. The evaluation could identify and obtain from readily accessible sources critical indicators of grantee performance in each of the Special Programs. These indicators would give DSS an empirical basis for developing guidelines or norms suitable for future distribution of points to applicants based [illegible] previous performance.

Current Analytic Activities:

None

Sources of Evaluation Data:

General Accounting Office, *Problems of the Upward Bound Program in Preparing Disadvantaged Students for a Postsecondary Education*, March 7, 1974, Wasington, D.C.

Program files, Office of Postsecondary Education.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of *A Study of the National Upward Bound and Talent Search Programs*, Research Triangle Institute, Research Triangle Park, North Carolina, 1975.

Evaluation Study of the Upward Bound Program, Volume IV *A Study of the National Upward Bound and Talent Search Programs*, Research Triangle Institute, Research Triangle Park, North Carolina, 1976.

Evaluation Study of the Upward Bound Program: A First Follow-Up, Research Triangle Institute, Research Triangle Park, North Carolina.

Evaluation Study of the Upward Bound Program: A Second-Follow-Up, Research Triangle Institute, Research Triangle Park, North Carolina 1979.

Evaluability Assessment of the Special Programs for Disadvantaged Students, American Institutes for Research, Palo Alto, California, January 1982.

For further information about program operations,

Contact: Richard T. Sonnergren, 426-8960

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Talent Search Program (CFDA No. 84.044)

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; Sec. 417 B Public Law 89-329; as amended by Public Law 90-575; Public Law 91-230; Public Law 92-318; Public Law 94-482; Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1966	1/	$ 2,000,000
1967	1/	2,500,000
1968	1/	4,000,000
1969	$ 10,000,000	4,000,000
1970	56,680,000 2/	5,000,000
1971	96,000,000 2/	5,000,000
1972	96,000,000 2/	5,000,000
1973	100,000,000 2/	6,000,000
1974	100,000,000 2/	6,000,000
1975	100,000,000 2/	6,000,000
1976	100,000,000 2/	6,000,000
1977	200,000,000 2/	8,900,000
1978	200,000,000 2/	12,454,000
1979	200,000,000 2/	15,300,000
1980	200,000,000 2/	15,300,000
1981	200,000,000 2/	17,100,000
1982	165,000,000 2/	16,416,000
1983	165,000,000 2/	None Requested

Program Goals and Objectives

Talent Search projects are designed to identify qualified youths, 3/ including qualified youths residing in areas of severe rural isolation, of financial or cultural need with an exceptional potential for postsecondary educational training and especially such youths who have delayed pursuing

---

1/ Such sums as may be necessary.

2/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Center (up to FY 1982), and the Training Program.

3/ Public Law 96-374 substantially changed the characteristics of eligible youths. Not less than two-thirds of the individuals participating in a project must be low-income individuals who are potential first generation college students. The description presented reflected Talent Search in Academic Year 1980-81.

postsecondary educational training, and to encourage them to complete secondary school and undertake postsecondary educational training. The program also publicizes student financial aid programs and encourages secondary-school or college dropouts of demonstrated aptitude to reenter educational programs. The goal of this program is to (1) increase the rate at which youths of financial or cultural need complete secondary educational programs, (2) decrease the rate of secondary and postsecondary school dropouts, (3) increase the number of secondary and postsecondary school dropouts who reenter educational programs, and (4) increase the postsecondary enrollment rate of youths who have delayed pursuing postsecondary educational training.

The authorizing legislation for the Talent Search Program allows youths from other than low-income families, not to exceed one-third of the total served, to benefit from the projects.

Program Operations:

Talent Search is a discretionary project grant program which works through institutions of higher education, public and private agencies and organizations and in exceptional cases, secondary schools, to provide services to disadvantaged youth in secondary schools or who are dropouts. The program is managed through the ED central office. As one of the "TRIO" programs, 37 ED staff manage this program along with the five other programs that make up the Division of Student Services. Awards are made competitively. The program is forward-funded and no matching grants are required of grantees.

The local projects operate a recruiting effort to identify youths who need the program's services and counsel them about opportunities for furthering their education.

A study of the program showed that all project directors expressed a fundamental philosophic concern with educational opportunities for the minorities and the educationally disadvantaged. Their stated project objectives were two-fold. First, they focused on improving the client group's educational and vocational status and self-perception, and second, on increasing school and community awareness of the client group's needs. Given this common base, all projects provided services intended to encourage clients to aspire to postsecondary education.

The number and kinds of services provided clients varied considerably across projects classified by size, ethnicity and location of majority of clients, type of host institution, age, and ED region location. However, all projects generally encouraged the completion of high school and the attainment of a postsecondary education; provided information on educational opportunities and financial assistance; and assisted in the mechanics of applying for admission and financial aid. To a more limited extent, projects provided follow-up activities and assistance to insure that clients actually: enrolled in postsecondary institutions; reached the campus and began their studies; and became adjusted and oriented to the campus.

In receiving these services, about one-sixth of the clients had had only one contact with Talent Search, about one-half had had two to five contacts, and about one-third had had six or more contacts.

Program Scope:

During academic year 1979-80, 153 projects were funded. The grants ranged from $43,789 to $240,610 and averaged $100,386 with a cost per client of $77. The projects reported serving 198,817 clients with about 42 percent blacks, 27 percent white, and 31 percent of other ethnicity, such as Native Americans or Mexican-Americans. Approximately 56 percent of these clients were female and 44 percent were males. About 71 percent were from families with low incomes and approximately 29 percent were eligible due to cultural need.

For 1980, 278 applications, reflecting a demand of $38,653,484, were processed. From these applications, 158 grant awards were made for the first year of a two-year funding period. Of the 158 projects, 25 were hosted by two-year/junior colleges, 70 by four-year colleges, 3 by vocational/technical schools, and 60 by agencies. The average cost per grant was $96,835 and an average cost per student of $76 for the 202,030 students served in FY 1980 (school year 1980-81). In FY 1981, 12 new Talent Search projects were funded bringing the total number of projects to 170 at an average cost each of about $100,664, or $86 per student, for the expected 198,243 participants.

In 1981, 171 grants were awarded to 104 institutions of higher education, 63 public/private agencies and 3 vocational/technical schools. Of this total, $1,695,997 went to 21 historically black institutions, $700,852 to predominately black institutions and $1,896,042 to predominately Hispanic institutions.

Program Effectiveness and Progress:

In the 1980-81 academic year, 66,239 clients were placed in postsecondary education with an additional 40,187 accepted, but not yet enrolled. Approximately 14,301 actual or potential dropouts were persuaded to return to school or college.

A management-oriented evaluation of the program has recently been completed. The study was commissioned by the Department of Education and conducted by the American Institutes for Research (AIR). A major purpose of the study was to interview policymakers, legislators, and program stakeholders to ascertain their perception of the program's goals and, if possible, to build a consensus so that agreed upon objectives for the program were established.

Findings

There was general consensus about the following program objectives:

- Project participants' motivation to complete secondary education will be enhanced and graduation rates will be increased.

- Application rates to postsecondary institutions by program participants will be increased.

- Project participants' knowledge of realistic postsecondary educational opportunities and financial aid availability will be increased for the program.

- The numbers of accurate applications for financial assistance submitted and the amounts of financial aid received by project participants will be increased for the program.

Site visits and reviews of the appropriate literature showed that these objectives were plausible.

Other findings of the study are summarized below:

- Few program managers or grantees believe the changed participant eligibility requirements instituted by the Education Amendments of 1980 will have major effect on program operations. The practical effects of the "first generation college student" and the new "low income" criteria will be to ease the paperwork and administrative burdens on projects and perhaps to make a few more moderate-income students eligible. The basic targeting of the programs on low-income disadvantaged youths is not expected to change appreciably.

- Many grantees, especially those who are new to the programs, expressed concern at the dearth of technical assistance the Department of Education Division of Student Services (DSS) is able to provide on proper grant management procedures and the amount of discretion they have in managing project budgets. This dearth is generally the result of underfunding and understaffing of DSS. For example, the DSS staff has been reduced from almost 60 in 1977 to less than 37 at the present time. During the same period, the number of funded projects has risen from approximately 850 to over 1,260. Similarly, funds allocated to DSS staff travel have been substantially reduced and site visits have been severely curtailed.

- Although many grantees participate in training efforts sponsored by regional professional associations of Special Programs grantees, many still expressed a major need for more and better training in such diverse topics as: the most effective techniques for educating and motivating disadvantaged students; possible techniques for augmenting federal project budgets by obtaining private sector assistance; the "key elements" of successfully managing a project; and possible techniques for involving parents and community groups more effectively in implementing successful outreach efforts.

- The programs has a functional performance reporting system that provides accurate and up-to-date information on numbers and characteristics of students served, services provided, and initial outcomes achieved. Current data on more ultimate outcomes, such as postsecondary education success for program participants, are available only at the project level. But few policymakers expressed a need for such information, indicating instead they had already been convinced about the programs' value by earlier well-publicized ED-sponsored evaluations.

Based on the findings summarized above and others in the final report, the contractor made the following management suggestions for the program managers' consideration.

- Remove arbitrary ceilings on proposal budgets for new discretionary grant funding cycles and fund each project based on the demonstrated need for services and the adequacy of the plan for providing those services, even if it means funding fewer projects.
- Clarify the discretion local project directors, especially inexperienced directors, have in managing project expenses.
- Train DSS staff who serve as grants officers to recognize requests for which their approval is not required or can be granted routinely.
- Seek out more opportunities for DSS to communicate regularly with grantees, including traveling to regional professional association meetings, making regular telephone contacts, and preparing regular informative memoranda concerning new policy information or guidance.
- Take steps to encourage the professional development of Special Programs staff, including compiling and widely distributing descriptions of exemplary or innovative practices.
- Encourage prospective applicants for new Special Program grants to coordinate the geographical coverage of their proposed service areas with other prospective applicants in the same area; require elimination of any overlaps in proposed service areas before awarding grants.
- Ensure that DSS receives and maintains copies of up-to-date grantee work statements, documenting the actual numbers of students to be served and the services to be provided.
- Prepare and disseminate widely a short, attractive, and informative brochure suitable for explaining the Special Programs to the general public, especially if more public support will be required to sustain these programs in the future.

Evaluation Options

AIR generally found the available Special Programs data to be sufficient for meeting the needs expressed by most policymakers, legislators, and stakehoders. One notable exception is the unavailability of suitably reliable and verifiable data for use in measuring degree of past grantee performance, a use mandated by the Education Amendments of 1980 for awarding new grants.

AIR suggested the conduct of a rapid feedback evaluation based on a small representative sample of grantees. The evaluation could identify and obtain from readily accessible sources critical indicators of grantee performance in each of the Special Programs. These indicators would give DSS an empirical basis for developing guidelines or norms suitable for future distribution of points to applicants based on their previous performance.

Current Analytic Activities:

None

Sources of Evaluation Data:

Descriptive Study of the Talent Search Program, Volume III of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, December 1975.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, May 1975.

Evaluability Assessment of the Special Programs for Disadvantaged Students, American Institutes for Research, Palo Alto, California, January 1982.

Program Files, Office of Postsecondary Education.

For further information about program operations,

Contact: Richard T. Sonnergren, 426-8960.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Opportunity Centers (CFDA No. 84.066)

Legislation:	Expiration Date:
Higher Education Act of 1965. Title IV-A, Subpart 4; Sec. 417 E as amended by Public Law 92-318; as amended by Public Law 94-482; Public Law 96-374.	September 30, 1985

Funding History:	Year	Authorization 1/	Appropriation
	1974	$100,000,000	$3,000,000
	1975	100,000,000	3,000,000
	1976	100,000,000	3,000,000
	1977	200,000,000	4,000,000
	1978	200,000,000	5,246,000
	1979	200,000,000	6,300,000
	1980	200,000,000	7,700,000
	1981	200,000,000	8,000,000
	1982	165,000,000	7,680,000
	1983		None requested

Program Goals and Objectives:

This program is intended to serve areas with major concentration of low income populations by providing, in coordination with other applicable programs and services:

information with respect to financial and academic assistance available for persons residing in such areas desiring to pursue a program of postsecondary education;

assistance to such persons in applying for admission to institutions, at which a program of postsecondary education is offered, including preparing necessary applications for use by admission and financial aid officers; and

counseling services and tutorial and other necessary assistance to such persons while attending such institutions.

The centers also are to serve as recruiting and counseling pools to coordinate resources and staff efforts of institutions of higher education and of other institutions offering programs of postsecondary education, in admitting educationally disadvantaged persons.

1/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers (up to FY 1982), and the Training Program.

While the legislated goals of the Talent Search, Upward Bound and Special Services programs are aimed at individuals in need of project services, the Educational Opportunity Centers are designed to serve residents of major areas with a high concentration of low-income populations. 2/ Consequently, any resident of a funded area is eligible to receive project services. This broad mandate, without the restrictions of age, income, and disadvantaged cultural or educational backgrounds characteristic of the other Special Programs, offers more latitude to the project to deal with the educational needs of a geographic area.

Program Operations:

The Department of Education's central office awards Educational Opportunity Center Program grants on a cost-sharing basis paying up to 75 percent of the cost of establishing and operating a center, to approved postsecondary institutions, and public and private agencies and organizations. Awards, which are forward-funded, are made competitively. As one of the "TRIO" programs, 37 ED staff manage this program along with the five other programs which make up the Division of Student Services.

The Centers operate a recruiting effort to identify persons who need the program's services and to counsel them about opportunities for furthering their education. The Centers also provide remedial and tutorial services to students enrolled or accepted for enrollment in postsecondary schools.

Program Scope:

In FY 1980, 32 funded projects provided various forms of counseling and assistance to 117,100 participants. The grants ranged from $87,726 to $441,851 and averaged $240,625. The average cost-per-participant was $66.

I. Total participants by ethnicity.

American Indian	3,102	2.6%
Asian/Pacific Islands	3,781	3.1
Black	46,979	38.6
Hispanic	17,939	14.6
White	49,140	40.6
	120,941	99.5%

II. Total participants by sex.

Male	49,831	41.2%
Female	71,110	58.8
TOTAL	120,941	100.0%

2/ Public Law 96-374 focused the Educational Opportunity Program on adults (at least nineteen years of age). Not less than two thirds of the individuals participating in a project must be low-income and potentially first generation college students. The description presented reflected the program in Academic Year 1980-81.

III. Total Types of Institutions:

IHE	15
2-yr. public	4
4-yr. public	10
2-yr. private	-
4-yr. private	1

IV. Total participants by age.

Under 18	37,609	31.1%
18 - 24	48,608	40.2
25 and over	34,724	28.7
TOTAL	120,941	100.0%

For FY 1981, the $8,000,000 appropriation funded 32 projects and 107,649 students at an average cost per project of $239,315 and $71 per student.

Program Effectiveness and Progress:

An impact evaluation has not been conducted. Program data for FY 1980 show that 33,021 participants were placed in postsecondary schools or other types of training programs, and 8,078 participants had been accepted by a postsecondary institution but had not yet begun their studies.

A management oriented study of the Special Programs for Disadvantaged Students (EOC's, UB, TS, SSDS) has recently been completed by the American Institutes for Research (AIR) under contract to the Department of Education. The major purpose of the study was to ascertain the perceptions of the program's goals by program managers and policymakers, legislators, and stakeholders, and, if possible, to build consensus among those interviewed so that agreed-upon program objectives were established.

There was a general consensus by the above groups about the program objectives used that the objectives were plausible. These are as follows:

- Project participants' motivation to complete secondary education will be enhanced and graduation rates will be increased.
- Application rates to postsecondary institutions by participants will be increased.
- Project participants' knowledge of realistic postsecondary educational opportunities and financial aid availability will be increased for all programs.
- The numbers of accurate applications for financial assistance submitted and the amounts of financial aid received by project participants will be increased for all programs.
- Participants' motivation to complete studies in a postsecondary institution will be enhanced.

Additional findings of the study are summarized below:

- Few program managers or grantees believe the changed participant eligibility requirements instituted by the Education Amendments of 1980 will have a major effect on program operations. The practical effects of the "first generation college student" and the new "low-income" criteria will be to ease the paperwork and administrative burdens on projects and perhaps to make a few more moderate-income students eligible. The basic targeting of the programs on low-income disadvantaged youths is not expected to change appreciably.

- Many grantees, especially those who are new to the programs, expressed concern at the dearth of technical assistance the Department of Education Division of Student Services (DSS) is able to provide on proper grant management procedures and the amount of discretion they have in managing project budgets. This dearth is generally the result of underfunding and understaffing of DSS. For example, the DSS staff has been reduced from almost 60 in 1977 to 37 at the present time. During the same period, the number of funded projects has risen from approximately 850 to over 1,260. Similarly, funds allocated to DSS staff travel have been substantially reduced and site visits have been severely curtailed.

- Although many grantees participate in training efforts sponsored by regional professional associations of Special Programs grantees, many still expressed a major need for more and better training in such diverse topics as: the most effective techniques for educating and motivating disadvantaged students; possible techniques for augmenting Federal project budgets by obtaining private sector assistance; the "key elements" of successfully managing a project; and possible techniques for involving parents and community groups more effectively in implementing successful outreach efforts.

- The program has a functional performance reporting system that provides accurate and timely data on numbers and characteristics of students served, services provided, and initial outcomes achieved. Current data on more ultimate Special Programs outcomes, such as postsecondary educational success for participants, are available only at the project level. But few policymakers expressed a need for such information, indicating instead they had already been convinced about the programs' value by earlier well-publicized ED-sponsored evaluations.

Management suggestions:

A number of suggestions for management improvements were made by AIR:

- Remove arbitrary ceilings on proposal budgets for new discretionary grant funding cycles and fund each project based on the demonstrated need for services and the adequacy of the plan for providing those services, even if it means funding fewer projects.

- Clarify the discretion local project directors, especially inexperienced directors, have in managing project expenses.

- Train DSS staff who serve as grants officers to recognize requests for which their approval is not required or can be granted routinely.

- Seek out more opportunities for DSS to communicate regularly with grantees, including traveling to regional professional association meetings, making regular telephone contacts, and preparing regular informative memoranda concerning new policy information or guidance.

- Take steps to encourage the professional development of Special Programs staff, including compiling and widely distributing descriptions of exemplary or innovative practices.

- Encourage prospective applicants for new Special Program grants to coordinate the geographical coverage of their proposed service areas with other prospective applicants in the same area; require elimination of any overlaps in proposed service areas before awarding grants.

- Ensure that DSS receives and maintains copies of up-to-date grantee work statements, documenting the actual numbers of students to be served and the services to be provided.

- Prepare and disseminate widely a short, attractive, and informative brochure suitable for explaining the Special Programs to the general public, especially if more public support will be required to sustain these programs in the future.

One additional recommendation as to future evaluation was made by AIR:

- The available Special Programs data were generally found to be sufficient for meeting the needs expressed by most policymakers, legislators, and stakeholders. One notable exception is the unavailability of suitably reliable and verifiable data for use in measuring degree of past grantee performance, a use mandated by the Education Amendments of 1980 for awarding new grants.

- AIR suggested the conduct of a rapid feedback evaluation based on a small representative sample of grantees. The evaluation could identify and obtain from readily accessible sources critical indicators of grantee performance in each of the Special Programs. These indicators would give DSS an empirical basis for developing guidelines or norms suitable for future distribution of points to applicants based on their previous performance.

Current Analytic Activities:

None

Sources of Evaluation Data:

Evaluability Assessment of the Special Programs for Disadvantaged Students, American Institutes for Research, Palo Alto, California, January 1982.

Program Files, Office of Postsecondary Education.

For further information about program operations,

Contact: Richard T. Sonnergren, 426-8960.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Services for Disadvantaged Students (CFDA No. 84.042)

Legislation:

Higher Education act of 1965, Title IV-A Subpart 4 Sec. 417D; Public Law 89-329; as amended by Public Law 90-575; Public Law 91-230; Public Law 92-318; Public Law 93-380; Public Law 94-482; Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization 1/	Appropriation
	1970	$ 56,680,000	$10,000,000
	1971	96,000,000	15,000,000
	1972	96,000,000	15,000,000
	1973	100,000,000	23,000,000
	1974	100,000,000	23,000,000
	1975	100,000,000	23,000,000
	1976	100,000,000	23,000,000
	1977	200,000,000	30,637,000
	1978	200,000,000	45,265,000
	1979	200,000,000	55,000,000
	1980	200,000,000	60,000,000
	1981	200,000,000	63,900,000
	1982	165,000,000	61,344,000
	1983	165,000,000	57,376,000 (budget request)

Program Goals and Objectives:

The Special Services program is designed to provide remedial and other special services for youths 2/ from low-income families with academic potential, but who may be disadvantaged because of severe rural isolation who (1) are enrolled or accepted for enrollment at an institution of higher education which is a beneficiary of a grant or contract and (2) by reason of deprived educational, cultural, or economic background, physical handicap, or limited English-speaking ability, are in need of such services to assist them to initiate, continue, or resume their postsecondary education. The goal of this program is to increase the retention and graduation rates of such students.

1/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers (up to FY 1982), and the Training Program.

2/ Public Law 96-374 substantially changed the characteristics of eligible participants. Not less than two-thirds of the individuals participating in a project must be physically handicapped or low-income individuals who are first generation college students. The remaining participants must be physically handicapped, low-income, or first-generation college students. The description presented reflected the Special Services program in Academic Year 1980-81.

Program Operations:

Special Services is a project discretionary grant program making awards to institutions of higher education to provide remedial or bilingual educational teaching, guidance, and/or counseling services for students with an educationally, culturally, or economically deprived background, or with a physical handicap or limited English-speaking ability. The program is forward-funded and no matching funds are required by the grantee institutions. The program is administered through the ED central office. As one of the "TRIO" programs, 37 ED staff manage this along with the five other programs that make up the Division of Student Services. Awards are made competitively.

At the institution level, a Special Services program is defined as a separately budgeted formal or structured body of activity by the institutions for enrolled students, which is not routinely available to or appropriate for the typical entering student, but is directed toward the more disadvantaged students. Recipients of grants from this program who serve students of limited English-speaking ability must include in their curriculum a program of English-language instruction for such students.

Program Scope:

In FY 1979, 556 projects were funded. The grants ranged from $35,911 to $307,488 and averaged $99,615. The average cost per student was $335. The projects reported serving 165,222 students. Approximately 40 percent of the clients were black, about 38 percent were white, and about 15 percent were Hispanic. Approximately 57 percent of the clients were female and 43 percent were males. Approximately 8 percent of the clients were culturally disadvantaged, 41 percent were educationally disadvantaged, 6 percent were physically disabled, and 5 percent were of limited English-speaking ability, and the remaining 40 percent of the clients were eligible based on the low-income criteria.

For FY 1980, 790 applications, reflecting a demand of $114,015,064 were processed. From these applications, 595 grant awards were made for the first year of a four-year funding period. Of the 595 projects, 205 were hosted by two-year/junior colleges, 376 by four-year colleges, 7 by vocational/technical schools, and 7 by agencies.

Approximately 39% of the clients were black, about 39% were white, and about 15% were hispanic, 3% were Native American and 4% were Asian. Approximately 17% of the clients were culturally disadvantaged, 55% were educationally disadvantaged, 6% were physically disabled, and 7% were of limited English-speaking ability, and the remaining 15% of the clients were eligible based on the low-income criteria. Approximately 43% of the clients were male and 57% were female.

In FY 1981, 18 new projects were funded bringing the total number of projects to 613 at an average cost of $104,200, or $406 per student, for the projected 157,235 students to be served; of this amount, an estimated 19,000 physically handicapped students were also served.

Program Effectiveness and Progress:

Program records show that in FY 1980 (Program Year 1980-81), 172,071 students participated in the Special Services program. Of this number, 23,432 students showed adequate academic and personal adjustment and moved out of the program into the regular academic channels of the host institutions; 9,080 graduated from the host institutions, and 4,270 left the host institutions to transfer to other colleges.

The System Development Corporation is conducting an impact evaluation of the Special Services for Disadvantaged Students Program. The purpose of this study is to evaluate the impact of the federally--funded Special Services for Disadvantaged Students (SSDS) program as it existed during the 1979-80 academic year in postsecondary educational institutions across the country. The base-year report summarizes the SSDS program's short-term impact on freshman students who received special services from the program in that year. A follow-up survey, to be conducted in the fall of 1982, will be separately reported in mid-1983. The follow-up survey will attempt to determine longer-term program impact on the same sample of students, many of whom will then be in their senior year in their colleges and universities. Findings from the base-year report are summarized below.

- Students who received the full range of SSDS services were 2.26 times more likely to complete the freshman year than similar students who did not receive such services.
- SSDS students attempted and completed more course units than did the students who did not participate in these services.
- Full-service participation by SSDS students was associated with lower grade point averages in the first year. However, it is likely that this finding simply reflects the fact that students with poorer educational background and poorer entry skills tend to be given more services. The fall 1981 follow-up study should demonstrate whether or not this is correct.
- Students receiving more financial aid are more likely to persist through their freshman year, and tend to attempt and complete more course units and to obtain higher grades.
- Students having more affluent parents attempted and completed more course units and received higher grade point averages. However, student financial incentives (grants and tuition waivers) were apparently high effective in offsetting some of the negative effects of poverty backgrounds for some students. Such incentives were stronger predictors of course units attempted and completed, and of grade point averages, than the level of parental income, at least within the income range found in this study.

A management-oriented evaluation of the several Special Programs for Disadvantaged Students has recently been completed. The major purpose of this study was to interview policymakers, legislators, and program stakeholders to determine their perception of the programs' goals, and if possible to establish consensus on the programs' objectives. There was general agreement with the following program objectives:

- Project participants' knowledge of realistic postsecondary educational opportunities and financial aid availability will be increased for all programs.

- The numbers of accurate applications for financial assistance submitted and the amounts of financial aid received by project participants will be increased for all programs.

- The program participants' motivation to complete studies in a postsecondary institution will be enhanced.

- Persistence in and completion of appropriate postsecondary programs will be increased for SSDS participants.

Site visits and reviews of the literature on educating disadvantaged students at the postsecondary level showed that the above objectives were plausible.

Other findings of the evaluability assessment are summarized below:

- Few program managers or grantees believe the changed participant eligibility requirements instituted by the Education Amendments of 1980 will have a major effect on program operations. The practical effects of the "first generation college student" and the new "low income" criteria will be to ease the paperwork and administrative burdens on projects and perhaps to make a few more moderate-income students eligible. The basic targeting of the programs on low-income disadvantaged youths is not expected to change appreciably.

- Many grantees, especially those who are new to the programs, expressed concern at the dearth of technical assistance the Department of Education's Division of Student Services (DSS) is able to provide on proper grant management procedures and the amount of discretion they have in managing project budgets. This dearth is generally the result of underfunding and understaffing of DSS. For example, the DSS staff has been reduced from almost 60 in 1977 to less than 40 at the present time. During the same period, the number of funded projects has risen from approximately 850 to over 1,260. Similarly, funds allocated to DSS staff travel have been substantially reduced and site visits have been severely curtailed.

- Although many grantees participate in training efforts sponsored by regional professional associations of Special Programs grantees, many still expressed a major need for more and better training in such diverse topics as: the most effective techniques for educating and motivating disadvantaged students; possible techniques for augmenting federal project budgets by obtaining private sector assistance; the "key elements" of successfully managing a project; and possible techniques for involving parents and community groups more effectively in implementing successful outreach efforts.

- SSDS has a functional performance reporting system that provides accurate and up-to-date information on numbers and characteristics of students served, services provided, and initial outcomes achieved. Current data on more ultimate outcomes, such as college graduation for SSDS participants, are available only at the project level. But few policymakers expressed a need for such information, indicating instead they had already been convinced about the programs' value by earlier well-publicized ED-sponsored evaluations.

It was also found that available Special Programs data were sufficient for meeting the needs expressed by most policymakers, legislators, and stakeholders. One notable exception is the unavailability of suitably reliable and verifiable data for use in measuring degree of past grantee performance, a use mandated by the Education Amendments of 1980 for awarding new grants.

The contractor suggested the conduct of a rapid feedback evaluation based on a small representative sample of grantees. The evaluation could identify and obtain from readily accessible sources critical indicators of grantee performance in each of the Special Programs. These indicators would give DSS an empirical basis for developing guidelines or norms suitable for future distribution of points to applicants based on their previous performance.

The General Accounting Office has recently completed a study of the Special Services program. The purpose of the review was to assess ED's administration of program operations so as to determine if the grantee projects were meeting program and project goals, and to determine the progress of students in the program. This review covered the fiscal years 1978, 1979 and 1980. The review is based on visits to eleven SSDS projects (in six states) out of the 557 project grantees.

GAO findings were in large part consistent with findings from earlier studies in that ED needs better assurance that program goals and project objectives are being met. Specifically, GAO reported the following findings:

- Only three of the eleven projects visited had specific objectives to increase retention and graduation rates.
- In most cases, project objectives described the types of services to be provided and the numbers of students to receive the services. Other objectives were stated in broad, unmeasurable terms.
- Assessments of local projects have not been made to determine whether project objectives are met. Site visits are infrequent and too limited in scope.
- Local project reports to the SSDS program managers are not complete nor accurate; failure to obtain objectives is not reported.

As a result of the findings the GAO report made the following three recommendations.

- To better determine whether project objectives and program goals are being met, the Secretary should require project proposals to contain measurable objectives consistent with the program goal of increasing retention and graduation rates.
- The Secretary should require project monitoring visits to determine whether projects are meeting proposed objectives.
- The Secretary should require project annual performance reports to include information on the academic performance of participating students, and the status of all proposal objectives whether accomplished or not.

Current Analytic Activities:

Evaluation of the Special Services for Disadvantaged Students Program - The major purpose of this study is to evaluate the impact of participation in Special Services for Disadvantaged Students project activities on students' educational performance and progress. Issues of impact upon the hosting institution and project staff will also be addressed. The base-year study began in 1979 and was completed in fall 1981. The follow-up study will collect data in the fall of 1982 which would normally be the students' fourth year of college. This study will be reported in mid to late 1983.

Sources of Evaluation Data:

Program files, Office of Postsecondary Education.

Evaluation of the Special Services for Disadvantaged Students Program, final report, System Development Corporation, Santa Monica, California, 1981.

Evaluability Assessment of the Special Programs for Disadvantaged Students, American Institutes for Research, Palo Alto, California, January 1982.

Draft Report on The Special Services for Disadvantaged Students Program, September, 1982, U.S. General Accounting Office.

For further information about program operations,

Contact: Richard T. Sonnergren, 426-8960.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Veterans' Cost-of-Instruction Program (CFDA No. 84.064)

Legislation:

Section 420 of the Higher Education Act of 1965; as amended by Public Law 92-318; Public Law 93-380; Public Law 94-482; Public Law 95-336; Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1973	Indefinite	$25,000,000
1974	"	23,750,000
1975	"	31,250,000 1/
1976	"	23,721,000
1977	"	23,750,000
1978	"	23,750,000
1979	"	19,000,000
1980	"	14,380,000
1981	"	6,019,000
1982	"	4,800,000
1983	"	None Requested

Program Goals and Objectives:

The Veterans' Cost-of-Instruction Program (VCIP) provides payments to colleges and universities to support a range of educational and personal services to Vietnam-era veterans. Institutions receiving VCIP funds must maintain a full-time Office of Veterans' Affairs and provide counseling and tutorial services, outreach and recruitment programs, and special education programs for veterans, with special emphasis on services for disabled or handicapped veterans, incarcerated veterans and educationally disadvantaged veterans.

Program Operations:

Institutions of higher education, other than proprietary institutions, may receive assistance under this program if the applicant satisfies eligibility criteria related to the enrollment of undergraduate veterans. To enter the program, institutions must have a minimum of 25 enrolled veterans. An institution entering the program must also show that its veteran enrollment represents 110 percent of the previous year's veteran enrollment or that veteran enrollment constitutes ten percent of the total number of undergraduates at the institutions. To remain

---

1/ Includes a supplemental appropriation of $7.5 million.

eligible to participate in the program, an institution must maintain its veteran enrollment at 100 percent of the previous year's enrollment. On May 31, 1976, post-Korea veterans lost their eligibility for educational benefits under the G.I. Bill. The Education Amendments of 1976 allowed these institutions to subtract the number of veterans affected by this termination of eligibility from their previous requirement enrollment figure, thus allowing more institutions to maintain eligibility in the program. An amendment attached to the Alcohol and Drug Abuse Education Amendments of 1978 provided for two additional methods whereby participatting institutions can retain eligibility to continue in the program. The first method uses a ratio criterion which allows an institution to be eligible if the decline in its veteran enrollment, from its first year in the program to the present, is no more than the national average of decline over the same period. If an institution fails to become eligible under this first method, it may be declared eligible upon the Secretary's determination that the institution is making reasonable efforts to recruit, enroll, and provide necesary services to veterans. This determination is based on evidence presented by the institution and takes into consideration the extent to which the institution falls short of the ratio criterion used in the first method.

Applicants which satisfy any of these eligibility criteria receive cost-of-instruction payments subject to two major conditions. The first is that a minimum of 90 percent of the funds awarded to an institution must be used to establish a full-time Office of Veterans' Affairs, to employ at least one full-time staff member whose sole institutional responsibility is to veterans, and to provide adequate services. These services include (1) programs to prepare educationally disadvantaged veterans for postsecondary education, (2) active outreach, recruiting, and counseling activities through the use of other funds, such as those available under federally assisted work-study programs, and (3) an active tutorial assistance program, including dissemination of information regarding the program. The second stipulation is that any program funds not used for the above activities must be used solely to defray general academic/instructional expenses--such as instructional salaries, instructional equipment, media equipment, and library materials--and, thus, may be non-veteran related. Instructional expenses cannot exceed 10% of an institution's award. Several exemptions to these conditions are accorded to small institutions (i.e., those enrolling fewer than 2,500 students or enrolling no more than 75 veterans).

Small institutions are required to provide only recruitment and counseling services and to establish a full-time Office of Veteran's Affairs, which may be staffed by part-time employees who together assume the responsibility of at least one full-time employee. In addition, small institutions also have the option of entering into a consortium agreement with other, comparable institutions, provided that they are in close proximity and that the required services will be available to the veterans on the concerned campuses.

Program funds are disbursed to institutions in one payment. April 16 of each year is referred to as the "count date." At this time, participating institutions are required to count the number of Categories I and II veterans enrolled at the institution. The second payment in January or February provides reallocation of any funds remaining or available due to deobligations.

Determining the amount of the payment to which a qualified institution is entitled requires the calculation of the payment factor, i.e., that amount the institution is to receive for each eligible veteran. This is done by multiplying the total of all qualified applicant institutions' full-time equivalent Category I and II veterans. Eligible veterans attending on less than a one-half time basis are not included in the full-time equivalent counts. Finally a percentage figure, which is determined by comparing program appropriation with entitlement demand, is applied to $300 and $150 to obtain the payment factor for Category I and II veterans respectively. This procedure is done once a year, based on the April 16 count date, and the payment factors derived at that time are used to determine the amount of the annual award.

An additional limitation on cost-of-instruction payments permits no institution to receive more than $75,000 in any one year. Since the program has not been fully funded, this legislative amendment was added during Fiscal Year 1980 to protect small institutions. To the extent that this limitation makes available funds which would otherwise be apportioned as enormous awards to large institutions, the monies are alloted in such a manner as to ensure that eligible institutions will receive uniform minimum awards of up to $9,000. Should funds still remain available after application of this procedure, they are further distributed to ensure receipt of uniform minimum awards above $9,000--subject to the provision that no institutional awards above $9,000 exceed a cost-of-instruction payment as calculated by the veteran computation procedures described above.

Program management is located centrally, within the Office of Postsecondary Education, and has a staff of 7.

Program Scope:

Total demand for program funds, as calculated by the veteran enrollment computation procedures, amounted to $88.8 million in FY 1981. Award levels on a per veteran basis were determined through a pro rata reduction based on a full-time equivalency count of veteran enrollment within each of the two award level categories. Eight hundred and eighty eight institutions were funded in FY 1981. Nine hundred plus applications have been received for FY 1982 funding.

The distribution of FY 1981 awards to the 888 participating institutions is presented in Table 1. This distribution pattern is expected to remain about the same for FY 1982. The maximum grant in FY 1981 was $47,050 and the smallest was $418.

Table 1
Distribution of Veterans' Cost-of-Instruction
Payments Awards for FY 1981

Award	Number	Percent
Under $5,000	484	54.5%
$5,001-$10,000	232	26.1%
$10,001-$20,000	121	13.6%
$20,001-$40,000	48	5.4%
$40,001-$50,000	3	0.3%
	888	99.9%

Program Effectiveness and Progress:

No impact evaluations of the Veterans' Cost-of-Instruction Program have been conducted. A descriptive analysis of program data for Academic Year 1975-76 was completed. Based upon findings of this study, the distribution of services and average staffing patterns are presented in Tables 2 and 3.

As can be seen from Table 2, various forms of counseling (except for financial counseling) are available at reasonably high rates. However, the availability of services such as job placement and remedial courses appear to be directly related to the level of VCIP Project funding. The staffing patterns (as presented in Table 3) reveal increments in staff sizes located at $50,000 and $100,000 funding levels. A large proportion of the increases associated with projects funded at more than $50,000 were attributable to additional secretarial and clerk positions.

Table 2

Activities Reported by VCIP Projects in FY 75-76

Activity	$1 - $5,500	$5,500- $9,000	$ 9,000- $25,000	$25,000- $50,000	$50,000- $75,000	$ 75,000- $100,000	$100,000- $135,000	Total
Personnel Counseling	64%	74%	69%	81%	83%	82%	92%	73%
Family Counseling	44%	52%	52%	73%	63%	62%	46%	56%
Career Counseling	50%	89%	68%	82%	88%	88%	77%	72%
Educational Counseling	69%	70%	74%	80%	92%	88%	92%	78%
Financial Counseling	20%	17%	27%	34%	46%	29%	15%	28%
Job Placement	14%	29%	29%	20%	38%	41%	23%	26%
Remedial Mathematics	17%	22%	30%	37%	29%	53%	62%	32%
Remedial English	18%	22%	34%	38%	33%	47%	62%	33%
Remedial Reading	18%	26%	30%	35%	29%	24%	54%	31%
Tutoring Service	74%	78%	76%	74%	75%	76%	90%	78%
Study Center	11%	20%	27%	46%	25%	29%	23%	26%

Table 3

Average FTE Staffing Patterns Reported by VCIP
Projects for FY 75-76

Staff Position	$1 - $5,500	$5,500- $9,000	$9,000- $25,000	$25,000- $50,000	$50,000- $75,000	$75,000- $100,000	$100,000 $135,000
Full-Time							
OVA Person	.6	.7	.7	.7	.8	.8	.7
Coordinator	.3	.3	.3	.3	.5	.6	.6
Counselor	.2	.1	.3	.6	1.8	1.1	2.0
Outreach Worker	.1	.2	.3	.4	.9	.6	1.2
Recruiter	.1	.1	[illegible]	.1	.2	.4	1.7
Secretary	.2	.2	.5	.9	.9	1.3	2.5
Clerk	.1	.1	.2	.5	1.5	1.7	3.2
TOTAL	1.6	1.6	2.7	3.7	6.8	6.7	11.9

Sources of Evaluation Data:

Program Files, Office of Postsecondary Education.

Evaluation of the Veterans' Cost-of-Instruction Program, Research Triangle Institute, Research Triangle Park, North Carolina, 1978.

For further information about program operations,

Contact: Neil McArthur, 245-2806.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

High School Equivalency Program; College Assistance Migrant Program

Legislation:

Higher Education Act, Title IV,
Part A, Subpart 5, Section 418A
as amended by P.L. 96-374

Funding History:	Year	Authorization	Appropriation
High School Equivalency program	1980	$ 12,000,000 1/	$ 6,160,000
	1981	9,600,000 1/	6,095,000
	1982	14,000,000 1/	5,851,000
	1983	16,000,000 1/	5,851,000
College Assistance Migrant Program	1980	1/	1,173,000
	1981	1/	1,208,000
	1982	1/	1,159,680

Program Goals and Objectives:

These programs provide grants to institutions of higher education to assist migrant and seasonal farmworkers beyond the age of compulsory school attendance to complete the courses necessary to receive a high school diploma or its equivalent, and to assist such farmworkers enrolled in the first undergraduate year at an institution of higher education to pursue successfully a program of postsecondary education.

The High School Equivalency Program (HEP) brings together the outreach, teaching counseling and placement services necessary to recruit and serve eligible farmworker school dropouts, aged 17-24, who wish to obtain a High School Equivalency Certificate and subsequent placement in a college or university, a job-training program, the military or full-time employment. Participants receive room and board and a stipend for personal expenses. They live on a college or university campus and can use the cultural, recreational, health and other facilities. They attend at least 30 hours of class a week in the subjects covered by the General Education Development examination and receive whatever addtional tutoring is required. Career and personal counseling, as well as placement assistance, are also provided.

1/ for both programs.

The College Assistance Migrant Program (CAMP) is intended to assist migrant and seasonal farmworkers and their dependents who are enrolled as first year undergraduates to make the transition from secondary to postsecondary education, to develop the motivation necessary for success in postsecondary education and to complete their first year successfully. HEP graduates and eligible graduates of other high school equivalency programs may participate in CAMP. Participants receive tution scholarships and a stipend for personal expenses. The program also provides whatever tutoring and counseling is required and assists in arranging grants, loans and work-study arrangements to cover the full cost of the remaining three undergraduate years.

Program Operations:

Both program are funded through one year grants to private, non-profit and state-supported colleges and universities.

From 1974 to 1980, the Department of Labor funded HEP and CAMP, using a discretionary portion of funds set-aside for migrant ans seasonal farmworker programs. The Comprehensive Employment and Training Act Amendments of 1978 included specific authorization for these programs. In 1980, the program was transferred to the Department of Education and reauthorized as part of the Higher Education Act. Funding for the two programs ahs decreased from $7,333,000 in 1980 to 7,010,800 in 1982. New program regulations have been issued and program grants are now issued competively.

Program Scope:

HEP is expected to serve abour 2,101 students at 19 sites, and CAMP about 456 at 6 sites in FY 1982.

Program Effectiveness and Progress:

During academic year 1980-81, 85 percent of the HEP participants successfully completed the General Education Development examination; 92 percent were placed in college, job-training programs or full-time jobs. During the same year, 98 percent of CAMP participants successfully completed their first undergraduate year. Whereas the grade point average for entering CAMP students was generally one-half point below that of their freshman class as a whole, the grade point average for CAMP students at the end of the freshman year was one point above the class average.

Ongoing and Planned Evaluation Studies:

None planned.

Sources of Evaluation Data:

Program records, Office of Postsecondary Education.

Program Data:

For further information about program operations,

Contact: Vidal A. Rivera, Jr.
(202) 245-2222

For further information about studies of program effectiveness,

Contact: Gerald Burns
(202) 245- 7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Student Financial Assistance Training Program 2/

Legislation:

Sec. 493C of Title IV, Part F, Higher Education Act of 1965, as created by P.L. 94-482 (October 12, 1976); repealed by P.L. 96-374.

Expiration Date:

September 30, 1980

Funding History:

Year	Authorization	Appropriation
1977	$ 728,009 1/	$448,009
1978	$ 770,073 1/	$490,073
1979	$ 553,085	$533,085
1980	$ 534,240	$534,240
1981	$1,000,000 2/	$503,367

Program Goals and Objectives:

The purpose of the SSFAT Program is to help States design and develop programs to increase the proficiency of institutional and State financial aid administrators in all aspects of student financial assistance. States identify current and future financial aid administration needs, develop strategies and training materials to strengthen present programs, and provide appropriate pre-service and in-service training for financial aid administrators in State agencies and in postsecondary institutions throughout the State.

Program Operations:

The law provided for an annual Federal appropriation of $280,000 through Fiscal Year 1978, to be divided equally among participating States and territories; however, funds were never appropriated for this authorization. The law also established the funding pattern of transfers in each State of amounts equal to one-twentieth of one percent of the funds allotted under each of the Supplemental Educational Opportunity Grant, College Work-Study, and National Direct Student Loan Programs, not to exceed $10,000 from each program; and for equal matching Federal funds by amounts from State resources.

1/ These figures represent the sum of $280,000 and the authorized yearly transfers from three Federal student financial assistance programs according to the formula described in the Program Operations section of this report.

2/ Authority repealed by P.L. 96-374. This will be the last year reported in the Annual Evaluation Report.

TABLE 1

Funding Summary
State Student Financial Assistance
Training Program
FY 1977-80

	FY 1977-78	FY 1978-79	FY 1979-80	FY 1980-81
Federal Appropriations	$413, 724.00	$429,630.00	$491,949.00	$503,367.00
Participating: States	39	44	43	43
Participating: Others	2	2	0	1
State Expenditures	$399,690.71	$448,224.39	$495,483.69	$526,630.93
Federal Expenditures	$333,431.85	$376,606.51	$413,623.24	$419,522.84
Total Expenditures	$733,122.56	$824,830.90	$909,106.93	$946,153.77

TABLE 2

Compilation of Data
FY 1980-81
State Student Financial Assistance
Training Program

Eligible Beneficiaries	12,114
Attended Workshops	7,842
Received On-Site Assistance	639
Received Other Training	1,354
Received Materials	8,481

Training Sessions (total)	499
Workshops/Seminars	284
On-Site Assistance	167
Other	48

Program Scope:

Fifty-seven states and territories are potentially eligible to participate in the SSFAT Program. In the program's first year, 1977-78, there were 41 participating entities, consisting of 39 States and Puerto Rico and the District of Columbia. In the fourth and final year of the program, 1980-1981, it is expected that at least 43 States and Puerto Rico will have participated. The District of Columbia has discontinued its participation. See Table 1 for more details on funding.

The most recent program year for which complete figures are available, 1980-81, indicates that almost two-thirds of the 12,114 financial aid administrators identified through the program's need-analysis surveys as being "eligible to benefit" actually attended SSFAT Program training sessions. A similar number of financial aid administrators received materials developed and/or distributed with SSFAT Program funds. See Table 2 for more details on participants.

Program Effectiveness and Progress:

The SSFAT Program has provided for training opportunities that address the complexities of both State and Federal student financial aid programs. Workshops presented with the assistance of SSFAT Program funds have ranged from single sessions in less populous states, such as Alaska and Rhode Island, to the multiple presentations in California, New York, and Pennsylvania. Materials developed with SSFAT Program funds have included guides to available student financial aid, model policy and procedures manuals for financial aid offices, and monographs. One monograph on legal issues in financial aid developed in Illinois was reproduced and distributed by several other States. Materials for the four years of the SSFAT Program have been indexed and are on file in the Division of Training and Dissemination, Office of Student Financial Assistance.

Current Analytic Activities:

None

Sources of Evaluation Data:

SSFAT Program files, Office of Postsecondary Education.

For further information on Program Operations,

Contact: Mike High, 472-3320.

For further information on studies of Program Effectiveness,

Contact: Dan Morrissey, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Training Program for Special Programs Staff and Leadership Personnel (CFDA No. 84.103)

Legislation:	Expiration Date
Higher Education Act of 1965 Title IV, Subpart 4, Sec. 417F as amended by Section 124 (c) of Public Law 94-482; as amended by Public Law 96-374.	September 30, 1985

Funding History:	Year	Authorization 1/	Appropriation
	1978	$200,000,000	$2,000,000
	1979	200,000,000	2,400,000
	1980	200,000,000	2,000,000
	1981	200,000,000	1,000,000
	1982	165,000,000	960,000
	1983	165,000,000	None Requested

Program Goals and Objectives:

The Training Program for Special Programs Staff and Leadership Personnel is designed to provide training for staff and leadership personnel who will specialize in improving the delivery of services to students assisted by the Special Services, Upward Bound, Talent Search, and Educational Opportunity Centers programs. Training for local project personnel is designed to improve their skills in leadership, management, academic instruction and counseling.

Program Operations:

The Training Program awards contracts 2/ to support the operation of short-term training institutes and in-service training programs to improve the skills of staff and leadership personnel. Proposals are requested from institutions of higher education and other public agencies and non-profit private organizations. The program is forward-funded and contracts are awarded competitively. Beginning in FY 1982, The Training Program will become a discretionary grant program instead of a contract program. It is expected that 10 new grants will be awarded at an average of $96,000 per grant. As one of the "TRIO" programs, 37 ED staff manage this program along with five other programs in the Division of Student Services.

1/ Represents budget authority for all the Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

2/ Public Law 96-374 authorizes grants rather than contracts. The description presented reflects the training program in academic year 1980-81.

Program Scope:

In FY 1979, contracts were awarded to Marquette University ($400,000) for leadership training sessions, the University of Colorado ($1,200,000) for training in instructional and counseling techniques, and Atlanta University ($800,000) for management and evaluation training sessions. A total of 2,000 project staff persons received training under the above contracts.

In FY 1980, two contracts were awarded to provide training to approximately 1,400 Special Programs project personnel. One contract went to Marquette University ($1,400,000) to provide training to experienced project personnel in the areas of project evaluation, designing and implementing effective counseling and tutorial components, and curriculum design. Marquette provided training to 1060 of the Special Programs staff including experienced project directors, counselors, instructors, coordinators, and curriculum developers. Fourteen training institutes were held in three different cities. The second contract went to Far West Laboratory ($600,000) to provide project management training to 400 new Special Programs project directors. The Laboratory conducted eight workshops in four different cities. Each workshop consisted of approximately 50 participants from projects with similar goals, objectives and programmatic components.

In FY 1981, one contract was awarded to Howard University to provide training to 550 project personnel. Howard University conducted four workshops in Washington, D.C., for 400 new Special Programs project directors. New project directors received training in Federal legislative and regulatory requirements, project administration, and effective management techniques. In addition, 150 experienced project directors and institutional administrators responsible for the Special Services for Disadvantaged Students projects attended seminars in which the issues affecting retention and attrition rates of SSDS project clients were examined. Two retention seminars were conducted by Howard University, one in Washington, D.C., and one in Denver, Colorado.

Program Effectiveness:

A recently completed management oriented evaluation of the Special Programs for Disadvantaged Students, while not assessing the Training Program per se, found that many SPDS project personnel expressed a major need for more and better training in such diverse topics as: the most effective techniques for educating and motivating disadvantaged students; possible techniques for augmenting federal project budgets by obtaining private sector assistance; the "key elements" of successfully managing a project; and possible techniques for involving parents and community groups more effectively in implementing successful outreach efforts.

Current Analytic Activities:

None planned

Sources of Data:

Program files, Office of Postsecondary Education. *Evaluability Assessment of the Special Programs for Disadvantaged Students*, American Institutes for Research, Palo Alto, California, January 1982.

For further information about program operations,

Contact: Richard T. Sonnergren, 426-8960.

For further information about program effectiveness,

Contact: Robert H. Berls, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening Developing Institutions Program (SDIP) (CFDA No. 84.031)

Legislation:	**Expiration Date**
Higher Education Act of 1965, Title III, Public Law 89-329, as amended by Public Law 96-374.	September 30, 1985

Funding History:

Year	Authorization	Appropriation
1966	$ 55,000,000	$ 5,000,000
1967	30,000,000	30,000,000
1968	55,000,000	30,000,000
1969	35,000,000	30,000,000
1970	70,000,000	30,000,000
1971	91,000,000	33,850,000
1972	91,000,000	51,850,000
1973	120,000,000	87,350,000
1974	120,000,000	99,992,000
1975	120,000,000	110,000,000
1976	120,000,000	110,000,000
1977	120,000,000	110,000,000
1978	120,000,000	120,000,000
1979	120,000,000	120,000,000
1980	120,000,000	110,000,000
1981	120,000,000	120,000,000
1982	129,000,000	129,600,000 1/
1983	245,000,000	129,600,000 2/

Program Goals and Objectives:

The program objective in fiscal year 1982 was to provide assistance to developing institutions of higher education which demonstrate a desire and a potential to make a substantial contribution to the higher education resources of the Nation but which, for financial and other reasons, are struggling for survival and are isolated from the main currents of academic life. Specific program objectives included the improvement of the quality of curriculum, faculty, student services, administration, and other general areas of institutional operations. Since its inception, the program has included both two- and four-year institutions enrolling substantial numbers of students from low-income families as well as representatives of minority populations. Almost a thousand colleges and universities were eligible to participate in the Title III program based on average Pell awards and recipients, campus-based awards and recipients, and Educational and General expenditures in FY 1981.

1/ If the supplemental is approved; otherwise only $124,416 will be available.

2/ Budget request.

The program goal was to provide such supplementary financial assistance as may be necessary to allow developing institutions to move into "the mainstream of American higher education" so that they might, on the basis of offering an education of good quality, reasonably compete for students and external financial resources.

Program Operations:

Developing institutions for FY 1982 were defined in the legislation as institutions of higher education which: (1) provide an educational program which awards an A.A. or a B.A. degree, (2) are accredited by a nationally recognized accrediting agency or association, or making reasonable progress toward such accreditation, (3) have satisfied both of the above requirements during the five academic years preceding the academic year during which program assistance would be provided--with the exception that the five-year stipulation may be waived by the Secretary for institutions which serve to increase the higher education available to Indians, Spanish-speaking, rural, black or low-income students, (4) admit as regular students only persons having a certificate of graduation from a high school providing secondary education or the recognized equivalent of such a certificate, and (5) are public or nonprofit.

During Fical Year 1979, new regulations were adopted which changed the eligibility criteria. Two quantitative criteria replaced the old measures, resulting in a simpler eligibility process.

During 1980 new legislation was authorized and during 1981 new final regulations were approved. These changes resulted in two programs, Part A (Strengthening Institutions) and Part B (Aid to Institutions With Special Needs) that replace the old single developing institutional program. Both parts get half of the total appropriation. In 1982, this is $60 million for each program. Also, a new program, Part C (Challenge Grant), was added with an additional $9.6 million authorized for this program.

Part A program uses 3 eligibility criteria; high Pell awards per recipient, high rate of Pell recipients per full-time equivalent (FTE) enrollment and low Educational and General Expenditures (E and G) per FTE. Once an institution is designated as eligible to apply, a proposal needs to be submitted and rated. If the proposal is highly rated, an institution may receive a one-year planning grant, a renewable grant not to exceed 3 years or a nonrenewable grant from 4 to 7 years in duration. Not less than 24% of the money must be reserved for 2-year schools.

The Part B program uses three eligibility criteria, high Pell and campus-based awards per award recipient, higher rate of campus-based and Pell recipients per FTE, and E and G per FTE. Once an institution is designated eligible, its proposal will be rated. If the proposal is highly rated, an institution may be eligible for a one-year planning grant or a nonrenewable grant not to exceed 5 years. The government will share cost from the third to fifth year of the grant at a declining rate (90%, 80%, and 70%). Not less than 30 percent of the money is reserved for two-year schools. Fifty percent of the amount received in 1979 is reserved for Historically Black Colleges.

Institutions eligible for the Challenge grant must be eligible under Part A or Part B, or if they are graduate-only institutions they have a separate eligibility procedure.

Program Scope:

In total from FY 1966 to FY 1981, over $1.2 billion was appropriated for this program. Three distinct funding strategies were used over this period. They are summarized below.

> The Basic Grant Strategy - FY 1966 to FY 1972 -- Total funding, $210.7 million. Number of participants ranged from 158 to 556. Activities were funded on a project by project basis, usually for one year and judged in the same manner. See Table I for more details on participants.
>
> The Advanced Grant Strategy - FY 1973 to FY 1978 -- Total funding, $637 million; $311 million for the Basic Program; and $326 million for the Advanced Program. The Advanced Program projects were selected and judged as they related to the institution's development plan. See Table 2 for more details on participants.
>
> The Combined Strategy - FY 1979 to FY 1981 -- Total funding, $350 million. All institutions are required to have a long range development plan. Projects funded must relate to the plan and are judged on the basis of their contribution to its implementation. (See Table 3 for more details on participants and funded activities.)
>
> Funds have been awarded under new regulations reflecting the Higher Education Amendments of 1980 for the first time in FY 1982.

Program Effectiveness and Progress:

Over the past fifteen years a number of studies have been completed covering a wide spectrum of activities. However, up to this point there has been no comprehensive evaluation of the overall impact of the program. The first phase of a study, which began in late 1980, to determine how best to evaluate the impact of the program both from a national perspective and also at the institutional level has been completed.

While the contractor uncovered a number of measurement problems because of the multiplicity and diversity of kinds and mixes of activities that institutions propose and are in fact allowed to operate, it concluded the "program objectives are measurable at the institutional and national level; that a systematic attempt to document program performance in these terms is feasible and desirable; and that such an effort should become routine management practice in monitoring and accounting for program performance."

Ta[illegible]

TITLE III, HIGHER EDUCATION ACT OF 1965 STRENGTHENING DEVELOPING INSTITUTIONS
BASIC INSTITUTIONAL DEVELOPMENT PROGRAM

	COMPARATIVE DATA FOR FISCAL YEARS 1966-1972				COMPARATIVE DATA FOR FISCAL YEARS 1973-1978					
	1966	1968	1970	1972	1973	1974	1975	1976	1977	1978
Funds Appropriated & Obligated (in thousands)	$ 5,000	$ 30,000	$30,000	$ 51,850	$ 51,850	$ 51,992	$ 52,000	$ 52,000	$ 52,000 2/	$ 52,000
Funds Requested by Institutions (in thousands)	$32,250	$113,925	$85,434	$143,000	$220,000	$198,000	$222,000	$196,000	$184,000	$172,000
Number of Proposals Submitted	310	500	433	456	470	511	491	431	410	415
Developing Institutions: Number of Grantees	127	220	227	226	235	215	207	203	190	238
Participating Institutions	31	148	215	330	232	139	230	232	229	205
Total	158	368	442	556	467	354	'437	435	419	443
Assisting Institutions	66	131	156	185	181	163	141	163	168	211
Assisting Agencies & Businesses	9	28	51	101	134	178	118	166	149	257
National Teaching Fellowships Approved	263	727	649	635	354	524	461	362	3/	3/
Professors Emeriti 1/ Awarded	--	--	56	73	45	59	48	38	3/	3/
Geographical Representation (States/Territories)	(38/1)	(45/3)	(44/4)	(43/3)	(43/3)	(47/3)	(44/3)	(44/4)	(46/3)	(46/4)

1/ The Higher Education Amendments of 1968 added this component to the program. The first award was in 1970.
2/ An additional $476,440 was received from reprogrammed money to make the new total obligated funds--$52,476,440.
3/ Not available.

Source: Program files, Office of Postsecondary Education.

Ta

ADVANCED INSTITUTIONAL DEVELOPMENT PROGRAM
TITLE III, HIGHER EDUCATION ACT OF 1965
SUMMARY OF FISCAL YEARS 1973-78

	1973	1974	1975	1976	1977	1978	Total
Funds Appropriated And Obligated	$ 35,500,000	$ 48,000,000	$ 58,000,000	$ 58,000,000	$ 58,000,000	$ 68,000,000	$ 325,500,000
Funds Requested by Institutions	336,554,162	400,387,759	318,997,848	314,577,547	281,373,538	352,595,125	2,004,485,979
Number of Proposals Submitted	156	205	174	134	193	135	997
Number of Institutions Funded	28	36	61	34	89	55	303
Number of New Institutions Funded	28	36	19	32	29	21	165
Number of Grants Awarded	28	36	63	34	110	58	320
Geographical Representation of Grantees (States)	22	18	26	23	29	26	36
Number of Different Four-Year Colleges Funded	17	23	44	22	63	37	108

---

* In FY 1977-79 awards with a mean of $92,000 were made to previous grants.

Source: Program files, Office of Postsecondary Education.

Table 3

Funding Summary
Developing Institutions Program
FY 1979-1981

	Fiscal Year		
	1979	1980	1981
Appropriation	$120,000,000	$110,000,000 [1]	$120,000,000
Obligations	$117,000,909	$110,000,000	$120,000,000
Funds Requested	$567,775,965	$562,007,501	$521,884,306
Number of Proposals	504	445	657
Number of Grantees	372	302	380
2-Year	166	92	144
4-Year	206	210	236

---

[1] $12 million was set aside for non-competing continuations. In FY 1979 66 2-year schools were given only one-year funding of their multi-year award. Thus, in FY 1980, money had to be set aside to fund the second year of these multi-year awards. $3.5 million is set aside for noncontinuations in FY 1981. This set-aside is for 17 2-year institutions.

Source: Program files, Office of Postsecondary Education.

Table 4

Funding Summary - FY 1982
Institutional Aid Program

Recommended Awards

Part A - Strengthening Institutions	Award Range	Total Amount	Number of Participants
Planning Grants	$9,558-$25,000	$ 420,726	27
Short-term Grants			
2 year schools			
4 year schools			
Total	25,000-200,000	$14,293,932	91
Long-term Grants			
2 year schools			
4 year schools			
Total	38,000-756,580	44,212,343	130
Total	---	$58,927,001	241
Part B - Institutions With Special Needs			
Planning	$10,000-$25,000	$272,796	12
Long-term			
2 year schools			
4 year schools			
Total	49,865-800,000	49,264,312	148
Total	---	$49,537,108	160
Part C - Challenge Grants	$4,650-$3,019,181	$8,356,819	46
Total		$116,810,928	447

In coming to this conclusion, it suggested that currently too little attention is given to outcomes and too much to activity milestones. However, it also recognized this is due in part to the (reasonable) conviction that the institution can best determine its needs and strategies and measure its accomplishments; the absence among program operations staff of special competences in higher education, in the variety of disciplines represented in the activities, or in impact evaluation per se; and the lack of ready and persuasive evaluation capability in the eligible institutions themselves, along with the added cost for the institution of and executing a reasonable impact evaluation.

Finally it is also reasonable to expect that orderly and determinable institutional and activity characteristics can be identified that may explain differences in program impact indices at the institutional level and that such monitoring of impact can be routinized for efficient operation by existing program staff. This will aid not only impact analysis but the applications review process, technical assistance to institutions, and the better specification of rules and regulations.

Ongoing and Planned Activities:

Phase II of the above noted study is currently under way. It is scheduled for completion in FY 1983.

Sources of Evaluation Data:

A Study of Title III of the Higher Education Act: The Developing Institutions Program, Center for Research and Development in Higher Education, University of California--Berkeley, January 1974.

Assessing the Federal Program for Strengthening Developing Institutions of Higher Education, General Accounting Office, October 31, 1975.

The Development of Institutions of Higher Education: Theory and Assessment of Impact of Four Possible Areas of Intervention Plus Technical Appendices, Harvard Graduate School of Education, Cambridge, Massachusetts, January 1977.

Research Triangle Institute, A Study of the Strengthening Developing Institution Program, Phase I; Research Triangle Park, North Carolina, 1981.

Program Files, Division of Institutional Development, Office of Postsecondary Education.

For further information about program operations,

Contact: Margaret Seagers, 245-9758

For further information about studies of program effectiveness,

Contact: James Maxwell, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Minority Institutions Science Improvement Program (CFDA No. 84.120)

Legislation:

Section (3)(a)(1), National Science Foundation Act of 1950, enacted by P.L. 81-507, 64 Stat. 149 (42 USC 1862), amended by Section 406 A to the General Education Provisions Act (20 U.S.C 1221 e-1 b; 3444). PL 96-374

Expiration Date:

September 30, 1984

Funding History:

Year	Authorization	Appropriation
1972	$ 5,000,000	$ 5,000,000
1973	5,000,000	5,000,000
1974	5,000,000	5,000,000
1975	5,000,000	5,000,000
1976	5,000,000	5,000,000
1977	5,000,000	5,000,000
1978	5,000,000	5,000,000
1979	5,000,000	5,000,000
1980	5,000,000	5,000,000
1981	5,000,000	5,000,000
1982	5,000,000	4,800,000
1983	5,000,000	3,287,000

Program Goals and Objectives:

The Minority Institutions Science Improvement Program (MISIP) was established to assist minority institutions to develop and maintain quality science education and to improve access to science and engineering careers for pre-college and undergraduate level minority students.

The MISIP program began in 1972 at the National Science Foundation at a funding level of $5 million per year. The program has supported a wide range of science projects at institutions whose student enrollments are predominantly from ethnic minorities underrepresented in science and engineering. The disadvantaged groups supported through the MISIP program include Alaskan Natives, American Indians, Black Americans, Hispanics, Pacific Islander and other ethnic groups underrepresented in science and engineering.

Program Operations:

The program supports four types of projects. The institutional and cooperative grant awards are for comprehensive science education projects at a single institution or at a consortium of institutions, and are funded at a maximum of $300,000 for three years. The design projects are small projects which provide science planning capability to eligible institutions having no formal planning mechanisms; these grants are made for a maximum of one year at $20,000. Special projects are designed for single-focus science improvement activities; these grant projects are funded for a maximum of two years at $50,000. The program receives, on the average, about 70 applications annually in the institutional/cooperative category, and about 100 applications in the special projects category. The proposals are evaluated using a peer review system. Each application is read and evaluated by two separate panels composed of four or five scientists and engineers representing both the social and natural sciences.

Program Scope:

During the first nine years of the program, MISIP has provided $41.7 million for 207 direct institutional/cooperative projects at 139 institutions and $2.3 million for 48 special projects, design projects and a variety of other activities that relate to the objectives of the program.

Table 1 outlines the types of awards, the year initiated, the number funded and the average size of the award.

Table 1-

Minority Institutions Science Improvement Program
Cummulative Activity Report by

Award Type	Institutional	Cooperative	Design	Project
Primary Purpose (FY Initiated)	Basic Science Improvement (1972)	Joint Science Improvement (1974)	Assist Long-Range Planning (1977)	Single Focused (1979)
Maximum Award Size	$300,000	$300,000	$20,000	$ 50,000-150,000
Maximum Duration	36 mos.	36 mos.	12 mos.	24 mos.
No. of Awards through FY 1981	223	7	10	54
No. of Awards in FY 1981	16	1	2	22
Total Amount Awarded	$44,978,046	$1,367,063	$237,734	$5,000,000
Average Award Size	$201,695	$195,295	$19,811	$48,216

Source: Program Files

Program Effectiveness and Progress:

The purpose of this program is to effect long-range improvement in science education at predominantly minority institutions. As Table 2 indicates, 143 out of 254 eligible institutions (56%) participated in the program through FY 1981.

Table 2
Minority Institutions Science Improvement Program (MISIP)

Institutional Participation in MISIP, FY 1972-80

Predominant Minority Group	Number Eligible 1/	Number of Awards	Number of Different Institutionals Receiving Awards 2/
Alaskan Native	4	2	1
American Indian	20	11	12 2/
Black	158	163	101 2/
Mexican American	16	8	6
Puerto Rican	24	23	14
Micronesian	2	1	1
Combination	30	18	8 2/
TOTAL	254 1/	232	143 2/

1/Does not include 34 institutions whose eligibility/accreditation is uncertain or which are non-accredited.

2/Includes nine non-accredited American Indian institutions, and one Hawaiian institution not included in the current eligibility pool count.

The program evaluation conducted by Arthur D. Little, Inc. (1979) concluded that MISIP has been successful in initiating capability enhancing activities at participating institutions. Also, it was stated that participating institutions reported increases in the number of sponsored science research projects conducted by science faculty. However, due to the relative newness of the program, the study was not able to determine its impact on the actual production of science degrees.

Some evidence is available from program files that indicates an enlargement of enrollments in target areas. While these changes may not be solely attributable to the Minority Institutions Science Improvement Program (MISIP), nevertheless the majority of the institutions involved received only MISIP grants in support of their general science improvement efforts.

There are also additional reports from the program staff that after receiving their first science improvement award through MISIP, institutions have continued to improve their capacity for extending opportunities in science and engineering to their students and faculty. These institutions have received other Federal grants and private support for strengthening their science programs as well as research grants for both faculty and students. In fact, staff analysis of the interim and final participant reports reveal that over 70% of grant-initiated activities have been institutionalized.

Current Analytic Activities:

There are plans for additional study of the Program activities by the program staff. Information and statistical data are being gathered from participating institutions. It is expected that the study will be completed in FY 1983.

Sources of Evaluation Data:

Program files, Office of Postsecondary Education.

Arthor D. Little, Inc., Evaluation of Minority Institutions Science Improvement Program, Prepared for the National Science Program (No. C-79691) February 1979.

For further information about program operations,

Contact: Argelia Velez Rodriguez, 245-8100

For further information about program effectiveness,

Contact: Jim Maxwell, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Biomedical Sciences (CFDA No. 84.112)

Legislation:

Elementary and Secondary
Education Act, Title III Part L

Expiration Date

September 30, 1983

Funding History:	Year	Authorization	Appropriation
	1980	$40,000,000	$ 3,000,000
	1981	40,000,000	3,000,000
	1982	2,880,000 1/	2,880,000
	1983		2/

Program Goals and Objectives:

The purpose of this program as originally legislated and administered in FY 1982 was to encourage and help prepare talented secondary school students from economically disadvantaged backgrounds to pursue careers in the biomedical sciences, grants are awarded to institutions of higher education to provide these students with the necessary academic skills, counseling, and exposure to the opportunities in the field. Institutions were to work with local educational agencies, private secondary schools and community health agencies to provide students at the secondary school level with an intensive academic program in mathematics, the sciences, and English and study skills development as well as experiences in laboratory and health delivery settings, guidance and counseling, and exposure to professionals in the biomedical sciences. Projects were to offer at least 100 hours of training after school during the academic year and a six-week summer program of academic instruction and enrichment to accommodate all of the students who wish to enroll. The program was repealed by the Omnibus Budget Reconciliation Act of 1981.

Program Operations:

For FY 1982 the authorizing legislation required that each project operate for a five-year period. A five-year project period enabled grantees to enroll target students while they were in the ninth grade. This provided intensive, consistent, and continuing experiences during high school, as well as an assessment by each participant's experience, during their first year at a university.

The projects were required to enroll at least 100 ninth grade students, but permited additional students to enter at the tenth grade level. Students in the eleventh and twelfth grades were also able to enroll if

---

1/ Third and fourth continuing resolution.

2/ Repealed by the Omnibus Budget Reconciliation Act of 1981.

they have had similar course experience in a comparable program. No grant was to exceed $2,400 per student participant, of which not more than $30 per month was to made available as a student stipend. Additional project costs were allowed for the summer program.

Students eligible for participation were required to be from a family which had, during the preceding year, an income equal to 50 percent or less of the national median income for families of comparable size. Students from this pool were also to have the potential for successfully completing college level courses in the biomedical sciences.

Grants to institutions of higher education were made on the basis of a national competition. To encourage participating students to serve in communities underrepresented by the biomedical sciences after completing their training, special consideration was to be given to those projects which are located in rural areas or areas where there are health personnel shortages. Other factors which were given special consideration in making awards was the extent to which a project (1) offered opportunities not previously available and (2) assured a diverse geographic distribution of all awards.

Program Scope:

This program complemented activities being carried out under the Department of Education's Special Programs for the Disadvantaged, which concentrated on identifying and encouraging disadvantaged students to complete high school and to enter and succeed in postsecondary education. It also was intended to work with the Graduate/Professional Educational Opportunities Program, and several programs outside the Department of Education; the Public Health Service's Health Professions Graduate Student Loan program, Health Career Opportunity Program, and Health Professions Student Loan program, and the National Institute of Health's Minority Biomedical Support program.

Table 1 summarizes actual awards for FY 1980 and FY 1981. FY 1981 funds were used for continuation awards. For FY 1980 12 awards were competitively funded. In FY 1981 no new awards were funded and the 12 awards of 1980 were continued another year. In 1982 the 1980 awards will be continued into its third year and no new awards will be funded. In 1983 the program will be part of a block grant.

Program Effectiveness and Progress:

Projects are funded for a five year-period, based on the availability of funds in subsequent years. Grantees are expected to assess each participants experience, including their first year at a university; however, the program has been operative for too short a period to determine its effectiveness.

Current Analytic Activities:

None Planned for FY 1982

Table 1

Summary of Projects Funded Under Biomedical Sciences 1980 and 1981

	1980 Actual	1981 Actual
Number of Projects		
-- New Awards	12	--
-- Continuation Awards	----	12
Total	12	12
Number of Students Enrolled		
New Projects	1,200	--
Continuation Projects	---	1,200
Total	1,200	1,200

Sources: Program Files

Sources of Data:

Program Files, Office of Postsecondary Education.

For further information about program operations,

Contact: Richard Sonnergren, 426-8960.

For further information about studies of program effectiveness,

Contact: James Maxwell, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Law School Clinical Experience Programs (CFDA No. 84.097)

Legislation:	**Expiration Date:**
Public Law 89-329 Higher Education Act of 1965 (as amended by Public Law 92-318), Title IX, Part E, extended by Public Law 96-374	None Requested

Funding History:	Year	Authorization	Appropriation
	1978	$7,500,000	$1,000,000
	1979	7,500,000	2,000,000
	1980	7,500,000	4,000,000
	1981	7,500,000	3,000,000
	1982	1,000,000	960,000
	1983	1,000,000	None Requested

Program Goals and Objectives:

The overall goal of this program is to provide clinical experience to students in the practice of law.

Program Operations:

The Secretary is authorized to enter into agreements with accredited law schools for the purpose of paying not more than 90 percent of the cost of establishing or expanding clinical law programs. Costs are limited to such expenditures as: planning; preparation of related teaching materials; administration; training of faculty members; payments for faculty, attorneys and other directly involved in supervision; appropriate travel; and other activities related to the program. Proposals are submitted in a national competition. A panel of outside consultants reviews the proposals and makes recommendations for funding to the Secretary. The program is forward funded.

Program Scope:

The Law School Clinical Experience program was first funded as a demonstration program in 1978 with an appropriation of $1,000,000. The appropriation has doubled annually with $2 million in 1979 and $4 million in 1980 and $3 million in 1981. The Omnibuvs Budget Reconciliation Act of 1981 reduced the authorization for this program to $1 million for 1982 a[illegible]83. In the academic year 1981-82, $3,000,000 was awarded to 74 law sc[illegible] to establish or expand programs that provide law students with actual [illegible] experience. Institutions receiving the grants, which ranged in size from $23,000-$57,500, are located in 38 States and the District of Columbia.

In academic year 1982-83, $960,000 was awarded to support clinical legal education programs at 40 law schools. The average grant was approximately $24,000.

Program Effectiveness and Progress:

When initially funded in 1978, this program was to have supported one-time only demonstrations to stimulate accredited law schools to establish or expand clinical training programs for law students in the actual practice of law. Using example and imitation as criteria the Federal objective to demonstrate the value of clinical experience in the education and training of law students can be said to have been met. For example, the Ford Foundation-sponsored Council on Legal Education for Professional Responsibility, Inc. (CLEPR) has spent approximately $7,000,000 over the past ten years to support the demonstration and development of approximately 100 clinical legal education programs. In view of this evidence it has been concluded that the concept of clinical legal training has been demonstrated and if the program is of value it should be the individual institution's responsibility to support the operation of these programs.

Current Analytic Activities:

None

Sources of Evaluation Data:

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Alan Schiff, 245-2347.

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Legal Training for the Disadvantaged (CFDA No. 84.136)

Legislation:

Public Law 89-329 of the Higher Education Act of 1965 (as amended by Public Law 93-380), Title IX, Part D, Section 966; extended by Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1974	1/	$ 750,000
1975	1/	750,000
1976	1/	750,000
1977	1/	750,000
1978	1/	1,000,000
1979	1/	1,000,000
1980	1/	1,000,000
1981	1/	1,000,000
1982	$1,000,000	960,000
1983	1,000,000	None Requested

Program Goals and Objectives:

The purpose of Title IX, Part D, Legal Training for the Disadvantaged, is to make grants to, or to enter into contracts with, public and private agencies and institutions for the purpose of assisting persons from disadvantaged backgrounds to undertake training in the legal profession. The program was established for the purpose of bringing about a significant increase in the number of lawyers from minority and disadvantaged groups. The program, formerly funded and administered by the Office of Economic Opportunity (OEO), is now administered by ED. The FY 1974 appropriation was the first specifically for the program under ED direction.

Program Operations:

The administration of the program is handled through a non-competitive project grant to the Council on Legal Educational Opportunity (CLEO) with no matching requirements. CLEO conducts a nationwide search for candidates to participate in this program. The participants are persons who wish to become lawyers, but have been unable to gain admission to law school under prevailing admissions criteria because of economic disadvantages, marginal academic credentials, or both. Applications are submitted to the CLEO central office where an initial screening process is done.

1/ This program was funded from private sources in 1968-70, and thereafter first by the Office of Economic Opportunity and then in 1974 by the Office of Education under HEA, Title IV, Part D, Section 966. "Such sums as may be necessary" were authorized for appropriation at that time.

Eligible applications are then forwarded to regional panels of law school deans and other educators who make the final selection of students.

The program provides the students with an intensive training session in the summer prior to law school. The intensive pre-law training that the participants receive runs for six weeks and is held at a number of regional institutes. Institute sites are selected in an effort to reflect a broad geographic distribution and to reduce student traveling expenses to the institute. This special preparation is designed to enable CLEO students to perform as well in law school as the traditional law student. After completion of the summer training, the students begin three years of law school where they annually receive a fellowship stipend of $1000. In addition, participating law schools waive the tuition and fees that would normally be charged to these students. Utimately, this program will increase the number of attorneys from economically and educationally disadvantaged backgrounds.

Program Scope:

In the 1982-83 academic year, 210 new students will be supported in addition to 340 continuing students. Altogether 3,060 students have participated in the CLEO program which has involved 144 law schools. Table 1 summarizes awards for 1981 and 1982.

Table 1

Summary of Awards for CLEO

	1981	1982
New Awards - Federal Dollars	$ 210,000	$ 210,000
Number of Students	210	210
Noncompeting Continuations -		
Federal Dollars	$ 340,000	$ 340,000
Number of Students	340	340
Summer Institutes -		
Federal Dollars	$ 210,000	$ 210,000
Number os Institutes	7	7
CLEO - Administrative Costs	$ 240,000	$ 200,000
Total BA	$1,000,000	$ 960,000
Total Students Supported	550	550
Student Stipend	$ 1,000	$ 1,000

Source: Program Files

Program Effectiveness and Progress:

Since its operation in 1968, the program has experienced a retention rate among its first-year students of about 80 percent, as compared to the 90 percent rate for law students as a whole. Since the program's inception in 1968 through 1979, a total of 2,722 students have successfully completed the summer institute programs, and of these, 2,629 have entered law school. Of the total possible number of eligible graduates at this time, 1,410 or approximately 70 percent have already graduated, a figure which compares reasonably well with the national norm. An additional 605 students have withdrawn from or failed in law school. Available data on students who participated in the legal training for the disadvantaged program from 1968 to 1979 are summarized in Table 2.

Considerable efforts have been made through the program to increase the number of women going to law school. Forty-six percent of the 1979 current participants were females. Similar efforts have been made to attract minorities. Table 3 summarizes the information on the ethnic background of the current participants. As the table indicates, the majority of participants 1979 were Blacks. However, a large number of ethnic minorities have participated in the program.

The CLEO National Office initiated a comprehensive survey in the summer of 1978 to compile relevant data on the performance of the more 1,410 program participants during and after their matriculation in law school to assess the Program's impact. To do so, they examined several significant variables; quantifiable law school admission credentials, performance within the academic arena of law school, bar performance, and most importantly, the employment achievements of the Program's graduates. The survey of CLEO graduates' academic and bar performance data involved 690 Program Fellows from entering classes of 1968 through 1975, that is, the law graduates of the classes 1971 through 1978. The survey represented a 48.9% response from the total available pool of 1,410 CLEO law school graduates during the time period covered.

The survey revealed that while CLEO fellows mean admission test scores were considerably lower than the National Average (422 compared to 551.9), their academic standing reflects a surprisingly successful record of performance for the period of law school enrollment. Eighty-seven percent of those fellows surveyed were reported to be in good standing at the conclusion of the first year, 94.1% in the second year, and 99.6% is the third year.

The survey also found 73.9% (501 of 678 respondents) passed their bar examination by their second attempt. This compares favorably with the national bar passage rate of 74%. This is especially important since the bar examination performance is viewed by many as an essential factor in determining the viability of affirmative admission programs. Given the law admission test scores the CLEO Fellows' bar performance is indeed significant.

Table 2

Summary of Information on CLEO Participants 1/

Year Participating in CLEO	# Students Participating	# Completing Summer Institute Successfully	# Entering Law School	# of CLEO Graduates	# Students in Law School Presently Receiving CLEO Aid	# in Law School Not Receiving CLEO Aid	# Withdrawn	# Passing Bar	# Failing Bar
1968	161	151	131	84	0	0	8	69	7
1969	448	444	400	292	2	0	8	176	30
1970	212	197	191	130	0	0	61	83	10
1971	221	210	207	137	0	0	70	61	3
1972	217	213	210	141	0	0	69	65	5
1973	233	229	218	158	0	0	60	63	8
1974	225	225	219	160	0	0	59	53	6
1975	251	244	234	156	0	0	52	46	12
1976	220	216	205	148	6	10	36	2	N/A
1977	220	208	197	N/A	152	2	47	N/A	N/A
1978	217	213	203	N/A	159	7	36	N/A	N/A
1979	224	222	214	N/A	206	7	6	N/A	N/A
TOTAL	2,850	2,722	2,629	1,405	623	26	652	598	81

1/ December 1979 Data Report from Council on Legal Education Opportunity.

Table 3

Ethnic Composition of CLEO Participants in Academic Year 1981-82 1/

	#	%
Blacks	301	54.7
Chicanos	139	25.1
Puerto Ricans	52	9.5
Other Hispanic Americans	8	1.5
Asian Americans	14	2.5
American Indians	3	.5
Caucasians	13	2.4
Others	20	3.6
TOTAL	550	99.8

1/ Data obtained from program files.

To the extent that the ultimate raison d'etre of any affirmative admission program in law schools is to increase access to the decision-making process of both the private and governmental sectors by members of disadvantaged groups, the career patterns of successful graduates of these programs may be the most significant measure of affirmative admissions. The table below shows CLEO graduates career patterns from the above noted survey.

Table 4

Career Patterns of CLEO Participants 1968-1975

JUDICIAL/EDUCATIONAL	
Judgeships	8
Elected Officials	1
Judicial Law Clerks	3
Judge Advocates General Corps (Military)	3
PUBLIC SECTOR	
Education	21
Assistant Prosecutors	3
City Attorneys	11
State District Attorneys	10
Federal Agencies	37
Legal Services	43
Municipal Government	8
Public Defenders (State & Federal)	11
Public Interest Organizations	6
State Government	28
PRIVATE SECTOR	
Congressional Aides	13
Corporate Practice (Litigation)	22
Corporations, Banks, Insurance Companies, Accounting firms, et. al. (Administration)	5
Entrepreneur (Owner of a Real Estate firm)	1
Law Clerk	2
Partner in a Law Firm (3 or more partners in firm)	17
Private Practice (Sole practitioner or partnership)	57
Staff Attorney in a Law Firm	8
Total	305

SOURCE: Council on Legal Education Opportunity; Survey was conducted in 1978 and includes a sample of CLEO law graduates from 1971-1978. The survey represents about 49% of the 1,410 graduates.

Current Analytic Activities:

The Education Amendments of 1976 required an annual report on the HEA Title IX programs, including Part D. The first study focused only upon 1978 while the second report was combined for the years 1979 and 1980. This report requirement was removed in the Higher Education Amendments of 1980.

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Office of Postsecondary Education.

Applied Management Sciences, "A Study of Specific Federally Funded Graduate Education Programs," February 1978.

Council of Legal Education Opportunity, "CLEO Fellows Academic and Bar Performance Data: An Abstract," Summer 1978.

U.S. Department of Education "A Report on Specific Federally Funded Graduate Education Programs 1978 to 1980" (The Secretary's Report to Congress on Title IX of The Higher Education Act of 1965 as amended) January 1981.

Data from Council on Legal Education Opportunity, December 1978.

For further information about program operations,

Contact: Lou Venuto, 245-2347.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Graduate and Professional Study Program 1/ (CFDA No. 84.094)

Legislation:	**Expiration Date**
HEA of 1965, Title IX, Parts A,B,C, and D; as amended by the HEA of 1980, Parts A and B.	September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1981	$110,000,000 2/	$12,000,000 3/
	1982	14,000,000 4/	8,640,000
	1983	14,000,000 4/	None Requested

Program Goals and Objectives:

The overall purpose of this legislation is to provide, through institutions of higher education, a program of grants to assist in making available the benefits of post-baccalaureate education to graduate and professional students who demonstrate financial need. There are two parts to this program: 1) the Institutional Grant Program (Part A) provides Federal financial assistance to enable institutions of higher education to maintain, strengthen, and improve the quality of graduate and professional programs leading to an advanced degree (other than a medical degree) including public service education and to strengthen undergraduate programs when it is determined that strengthened undergraduate programs will contribute to the purposes of Title IX-A; 2) The Graduate and Professional Fellowship Program (Part B) provides grants to institutions of higher education to support fellowships for graduate and professional study to students who demonstrate financial need. Fellowships are awarded to support students in three categories:

1/ The Education Amendments (P.L. 96-374) of 1980 provide for a new Part B of Title IX of HEA of 1965. The new Part B voids and replaces the old Part B (Graduate/Professional Education Opportunities Program), Part C (Public Service Fellowships), and Part D (Domestic Mining and Mineral and Mineral Fuel Conservation Fellowships) and reconstitutes them into a single program, Fellowships for Graduate and Professional Study. For information on each program prior to FY 1981 see the ED Annual Evaluation Report for FY 1981.

2/ Part A was authorized at $50,000,000 while Part B was authorized at $60,000,000. It should be noted that under the consolidated Part B, Section (e), it is required that at least as much money be spent each year on public service fellowships, mining fellowships and G*POP fellowships as was spent in FY 1979 for each of these categories.

3/ G*POP, $10 million; Public Service, $2 million; Mining program funds were rescinded.

4/ Authorization is for Part B fellowships only. Authority for Part A Institutional Grants was repealed by the Omnibus Reconciliction Act of 1981.

(1) Graduate and Professional Opportunity Fellowships (G*POP) awarded to individuals from groups, particularly minorities and women, who are underrepresented in graduate or professional study;

(2) Public Service Education Fellowships, awarded to individuals who plan to begin or continue a career in public service;

(3) Domestic Mining and Mineral and Mineral Fuel Conservation Fellowships, awarded to individuals who plan to begin advanced study in domestic mining and mineral and mineral fuel conservation, including oil, gas, coal, oil shale, and uranium.

Program Operations:

The Graduate and Professional Study Program is a small discretionary grant program. Awards are made annually on a competitive basis to institutions of higher education who apply directly to the Department of Education. Institutional applications for institutional grant and fellowship monies are reviewed and rated (in accordance with specified criteria for each program) by panels of academic experts chosen from institutions of higher education.

Allocations of fellowships are then made to successful applicant institutions that, in turn, award the fellowships to qualified students. In accordance with the statutory requirement, no grants may be made of less than $75,000 to any institution. The minimum award, however, of less than $75,000 not apply where the grant is made to support continuation fellowships only. This requirement was waived completely in the FY 1981 and FY 1982 appropriations language.

Eligible college graduates apply for fellowships directly to institutions that have received allocations of fellowships. The student must meet all the institutional eligibility requirements for admission into one of the approved graduate or professional programs for which the institution awards fellowships. In FY 1982, fellowship stipends are awarded based on financial need up to a maximim of $4,500 per 12-month period. An institutional allowance of $3,900 per year is provided for each fellow enrolled in the program. Fellows must be full-time students and ordinarily cannot have the fellowships renewed beyond a 36-month time period.

Program Scope:

The first grants were awarded under the new consolidated program in Fiscal Year 1981. Part A funds were available for institutional support only in conjunction with the G*POP fellowships. Those funds were specifically designated to help identify and to place undergraduate students on a competitive basis in the programs which lead to their employment in an appropriate graduate or professional career, and to encourage inter-institutional and community cooperation in such areas as recruitment and retention. Of the $10,000,000 available for G*POP, $227,000 was set-aside for institutional grants under Part A. Approximately 16 institutions received awards ranging from $10,000 to $20,000.

Table 1

G*POP

Fellowships in Academic/Professional Areas

FY 1981

	Total/%	B	H	NA	AA	MW
Engineering	178 (16%)	65 (37%)	41 (24%)	1 (.5%)	9 (5%)	62 (35%)
Physical Sciences	219 (20%)	82 (37%)	37 (17%)	3 (.1%)	14 (6%)	83 (37%)
Life Sciences	157 (14%)	65 (41%)	31 (20%)	8 (5%)	16 (10%)	37 (24%)
Social Sciences	136 (12%)	72 (53%)	33 (24%)	10 (7%)	2 (1%)	19 (14%)
Humanities/Fine Arts	19 (2%)	13 (68%)	3 (16%)	2 (11%)	0	1 (5%)
Psychology	67 (6%)	45 (67%)	13 (19%)	2 (3%)	3 (4%)	4 (6%)
Law	177 (16%)	121 (68%)	42 (24%)	6 (3%)	4 (2%)	4 (2%)
Business	64 (6%)	42 (66%)	2 (3%)	3 (5%)	2 (3%)	15 (24%)
Education	27 (2%)	15 (55%)	6 (22%)	6 (22%)	0	0

	% of Total
B - Blacks	50
H - Hispanics	20
NA - Native Americans	4
AA - Asian Americans	5
MW - Majority Women	21
	100%

The remainder of the $10,000,000 was awarded to 115 institutions to support 521 new and 664 continuing G*POP fellowships. The Fiscal Year 1982 appropriation of $8,600,000 was awarded to 110 colleges and universities to support 372 new fellowships and 650 continuation fellowships during 1982-83.

Program Effectiveness and Progress:

No formal study of these programs has been undertaken. However, available data from the three fellowship programs indicate that they are well targeted on fellowship recipients. Of the total G*POP participants in FY 1981, 51.3 percent were female, 50.0 percent were Black, 20.0 percent were Hispanic, 5 percent were Asian-American, and 4 percent were Native American. (See Table 1) Fifty percent of the 1981 fellowships were awarded to students enrolled in the Physical Sciences, Engineering and Life Sciences.

In the Public Service Program, 128 fellows completed the degree programs and 162 were continuing as students in 1977-78. Of the 1976-77 fellows, 141 secured employment in a public service related position. Twenty-two fellows found employment in unrelated areas usually with profit-making organizatins. The emphasis on educating practitioners is seen in that 155 fellows were reported to have participated in an internship, while only 34 were reported to have engaged in research.

An Evaluability Assessment (EA) of G*POP has been completed. The EA has produced: 1) a more definitive agreed-on program description including objectives, activities, and anticipated outcomes, 2) a set of possible measures of program performance, and 3) options for improving the management and evaluation of the program.

Current Analytic Activities:

None

Sources of Data:

Program files, Office of Postsecondary Education.

"Evaluability Assessment of the Graduate Professional Opportunities Program," the American Institutes for Research, Palo Alto, CA, July 1981.

U.S. Department of Education, "A Report On Specific Federally Funded Graduate Education Programs 1978 to 1980" (The Secretary's report to Congress on Title IX of the Higher Education Act of 1965 as amended) January 1981.

For further information about program operations,

Contact: Louis Venuto, (202) 245-2347.

For further information about studies of program effectiveness,

Contact: Robert Berls, (202) 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Fulbright-Hays Program (CFDA Nos. 84.019, 84.020, 84.021, 84.022)

Legislation:	**Expiration Date:**
Mutual Educational and Cultural Exchange Act of 1961. Section 102(b)(6), Public Law 87-256; as amended by Public Law 87-565; Public Law 89-698.	None

Funding History:	Year	Authorization	Appropriation
	1964	1/	$ 1,500,000
	1965		1,500,000
	1966		2,000,000
	1967		3,000,000
	1968		3,000,000
	1969		3,000,000
	1970		2,430,000
	1971		830,000
	1972		1,323,000
	1973		1,360,000
	1974		1,360,000
	1975		2,700,000
	1976		2,700,000
	1977		3,000,000
	1978		3,000,000
	1979		3,000,000
	1980		3,000,000
	1981		6,200,000
	1982		4,800,000
	1983		1,547,000 (est.)

Program Goals and Objectives:

The purpose of this program is to promote and strengthen the capability of American education in those modern foreign languages, area studies and global issues where there is greatest need to improve American understanding. This program supports group projects and fellowships in foreign countries for teachers and prospective teachers of United States schools, colleges, and universities to improve their skill in languages and increase their knowledge of the culture of these countries. The program also supports visits by foreign educators to the United States to improve foreign language training and international and intercultural education in United States schools, colleges and universities.

1/ Indefinite, does not have specific money authorization.

Program Operations:

Programs funded under Section 102(b)(6) of the Fulbright-Hays Act provide opportunities to individuals for first-hand experiences in the locales of their respective specialization areas. Specifically, faculty and doctoral dissertation research fellowships are provided for updating and extending research knowledge, and maintaining and improving language skills. The program also supports group projects abroad for research and training, and curriculum consultant services by foreign educators to improve foreign languages, area studies and intercultural education in U.S. schools and colleges. Special bi-lateral Projects provide for the exchange of experts for those countries with which bi-laberal agreements are signed. These exchanges are intended to improve the U.S., capacity for teaching the languages and cultures of those countries.

Programs for foreign language and area studies funded by this program have four major purposes: (1) to increase the Nation's pool of trained specialists in foreign language and area studies, (2) to provide inservice training to upgrade and update the professional knowledge and skills of specialists in foreign languages area studies, (3) to increase the knowledge about other nations and cultures, particularly those of the non-western world; and (4) develop curricula and instructional materials in foreign language and area studies needed by educational institutions, government, and business.

Program Scope:

The Fiscal Year 1982 appropriation of $4.8 million for this program supported 99 doctoral dissertation research fellowships, 20 group projects abroad, 12 foreign curriculum consultant grants and 42 faculty research fellowships. Twelve bilateral projects with Israel, Italy, India, Pakistan, Korea, and the Peoples' Republic of China were also funded.

Program Effectiveness and Progress:

An early 1970's review of foreign language and area studies programs in the U.S. demonstrated that adequate opportunities for research and study abroad are critical to improving the quality of foreign area specialists' training. Over 85 percent of the specialists included in the survey reported a need to increase opportunities for studying language in its natural setting. While, in absolute terms, there has been substantial growth in the numbers of specialists with some overseas experience, the survey reveals that on the average the depth of experience abroad is inadequate. Furthermore, although specialists have studied in a wide range of countries, the research of a majority of the specialists has been clustered in a small number of countries. In brief, a few countries are overstudied, relatively speaking, while a large number are understudied. 2/

2/ Language and Area Studies Review. Richard Lambert (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

The Fulbright-Hays programs therefore provide a resource for training specialists in underemphasized areas and for helping improve the caliber of training in foreign language and area studies through research and study abroad.

The Fulbright-Hays program is directly and significantly affected by the drastic changes in exchange rates and international prices over the past decade. A staff study analyzed changes in exchange rates, international prices and purchasing power of U.S. dollars. The data show that exchange rates, or the cost of foreign currencies, actually decreased by 2.7 percent during 1971-77. However, price levels abroad increased by 98.6 percent during the same period. The combined effect of these two factors was an 82.7 percent increase in the cost of program operations abroad. This is equivalent to a 10.5 percent annual rate of inflation in foreign countries compared with the 6.7 percent domestic inflation. Increases in U.S. inflation since that time have aggravated this problem.

Current Analytic Activities:

The Fulbright-Hays programs have been examined in light of the recommendations made by the President's Commission of Foreign Language and International Studies. These recommendations, which are included in the Commission's report entitled Strength Through Wisdom, call for significant increases in foreign language instruction and international education programming in the United States.

Sources of Evaluation Data:

Program Data. Information collected in other reports listed under Title VI of the National Defense Education Act is also relevant for the Fulbright-Hays Program.

Language and Area Studies Review, Richard D. Lambert (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

Changes in Purchasing Power of International Education Appropriations, Technical Paper, Office of Planning, Budgeting, and Evaluation, U.S. Department of Education, September 1978.

Strength Through Wisdom: A Critique of U.S. Capability, a Report to the President by the President's Commission on Foreign Language and International Studies, Government Printing Office, Washington, D.C. 1979.

Table 1

FOREIGN AREA AND LANGUAGE TRAINING PROGRAM

U.S. CITIZENS

Doctoral Dissertation Research Abroad awards, 1981-82	151
Number of countries they went to	51
Number of all Doctoral Dissertation Research awards, 1964-81 inclusive	2,167
Faculty Research Abroad awards 1981-82	49
Number of countries they went to	25
Number of all Faculty Research Abroad awards, 1964-81 inclusive	930
Group Projects Abroad participants, 1981-82	984
Number of countries they went to	20
Number of projects supported	38
Number of all Group Projects Abroad participants, 1964-81 inclusive	11,759
Seminar Abroad participants, 1981-82	176
Number of countries they went to	6
Number of projections supported	10
Number of all Seminars Abroad participants, 1964-81 inclusive	305

FOREIGN NATIONALS

Curriculum Consultant awards, 1981-82	15
Number of countries they came from	14
Number of all grants to Curriculum Consultants 1964-81 inclusive	286

Table 2

FOREIGN AREA AND LANGUAGE TRAINING

Grants Awarded; By Country and Area: FY 1964 - 80 and FY 1981[1]

WORLD AREA	GRANTS TO U.S. CITIZENS								Grants to Foreign Nationals	
	Doctoral Dissertation Research		Faculty Research		Group Projects[2]		Seminars[2]		Curriculum Consultants	
	FY 64-80	FY 81	FY 64-80	FY 81	FY 64-80	FY 81	FY 64-80	FY 81	FY 64-80	FY 81
AFRICA	211	21	60	4	1,114(58)	102(7)	-	-	59	5
LATIN AMERICA	329	21	91	5	665(32)	84(5)	-	20(1)	74	1
EAST ASIA & PACIFIC	517	44	184	14	1,400(59)	203(6)	20(1)	73(4)	34	4
WESTERN EUROPE	162	7	155	4	383(19)	11(1)	44(3)	27(2)	42	1
EASTERN EUROPE	298	26	199	14	2,166(76)	305(5)	-	-	21	1
NEAR EAST AND SOUTH ASIA	399	32	192	8	5,047(261)	279(14)	65(4)	56(3)	41	3
WORLD TOTAL	2,016	151	881	49	10,775(505)	984(38)	129(8)	176(10)	271	15

---

[1] All 1981 figures are for grants or funds obligated through September 30, 1981 for the 1981-82 academic year.

[2] Figures in parentheses indicate the number of group projects and seminars funded.

Funds to support these programs are derived from two sources: Section 102 (b) (6) of the Fulbright-Hays Act and Public Law 83-480, the Agricultural Trade Development and Assistance Act of 1954 (Section 104 (b) (2) and (3). The following is a breakdown of expenditures by program from the two funding sources for 1981-82.

	Fulbright-Hays dollars	P.L. 480 foreign currency	Total
Doctoral Dissertation Research Abroad	$2,146,500	$ -	$2,146,500
Faculty Research Abroad	840,000	-	840,000
Group Projects Abroad	2,029,963	764,718	2,794,681
Seminars Abroad	642,000	123,935	765,935
Foreign Curriculum Consultants	214,564	-	214,564
TOTAL	$5,873,027	$888,653	$6,761,680

EXCHANGES BY AREA
(Number of new grants awarded, 1981-82)[1]

	U.S. grantees to	Foreign grantees from
Africa	127	5
Latin America	130	1
East Asia and Pacific	334	4
Western Europe	49	1
Eastern Europe	345	1
Near East and South Asia	375	3
TOTAL	1,360	15

---

[1] All 1981 figures are for grants or funds obligated through September 30, 1980, for the 1981-82 academic year.

For further information about program operations,

Contact: Mr. Kenneth D. Whitehead, 245-9691

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Language Training and Area Studies (CFDA Nos. 84.015, 84.016, 84.017)

Legislation:

National Defense Education Act of 1958 Title VI; Public Law 85-864; as amended by Public Law 87-344; as amended by Public Law 88-210; Public Law 88-665; by Public Law 89-698; Public Law 90-575; Public Law 92-318; Public Law 94-482; Public Law 95-43, Public Law 94-482; transferred to Title VI of the Higher Education Act by Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1959	$ 8,000,000	$ 3,416,000
1960	8,000,000	7,300,000
1961	8,000,000	6,554,000
1962	8,000,000	8,000,000
1963	8,000,000	7,970,000
1964	8,000,000	8,000,000
1965	13,000,000	13,000,000
1966	14,000,000	14,000,000
1967	16,000,000	15,800,000
1968	18,000,000	15,700,000
1969	16,050,000	15,450,000
1970	30,000,000	13,002,000
1971	38,500,000	7,170,000
1972	38,500,000	13,940,000
1973	50,000,000	12,500,000
1974	75,000,000	11,333,000
1975	75,000,000	11,300,000
1976	75,000,000	13,300,000
1977	75,000,000	14,650,000
1978	75,000,000	15,000,000
1979	75,000,000	17,000,000
1980	75,000,000	17,000,000
1981	57,500,000	21,800,000
1982	30,600,000	19,200,000
1983	30,600,000	8,767,000 (est.)

Program Goals and Objectives:

The goal of this program is to support programs and activities that develop the knowledge and skills of U.S. students and scholars in modern foreign languages and area studies, particularly with regard to the lesser known non-Western areas of the world. The program awards grants and contracts for advanced international studies centers, fellowships, exemplary programs, research. The authorization for international understanding projects, formally and funded under this program, was repealed by the Omnibus Budget Reconciliation Act of 1981. Specifically, the Education Department funds programs designed to: strengthen U.S. institutions' teaching, research and dissemination activities in modern foreign languages and area international studies; increase the understanding of the U.S. business and legal communities, Federal, State and local government and all U.S. citizens about the cultures, actions, and policies of other nations; and increase and strengthen the pool of trained international specialists who constitute an important national resource in the conduct of foreign affairs. Four major programs are supported under Title VI of the Higher Education Act.

-- Advanced International Study Centers: Grants are awarded on a two or three year cycle to institutions of higher education, or consortia of such institutions, to establish and operate centers which contribute significantly to the national interest through advanced research and training, by employing scholars in disciplines related to a geographic concentration, and by maintaining important library collections. Continuation awards are based on the availability of funds. Centers focusing on a single world area offer instruction in two or more of that area's principal languages, as well as in other disciplines, in order to assist in the development of expertise in that particular world area. Awards are made in each world area category to centers having a combination of graduate and undergraduate instruction, as well as to those offering only undergraduate training.

-- Undergraduate International Foreign Language and Area Studies: Grants are awarded on a twoyear cycle to institutions of higher education, or on a three-year cycle to consortia of such institutions, to establish instructional programs in international studies and foreign languages. Non-profit agencies and organizations receive funding for projects which will make an especially significant contribution to the improvement of undergraduate instruction.

-- Foreign Language and Area Studies Fellowships Program: Academic-year fellowships are awarded for graduate students in modern foreign languages and area studies. In addition, intensive summer language training fellowships are funded. The grants are made to institutions of higher education.

-- Research: Grants are awarded to institutions of higher education, organizations, and individuals to support surveys and studies to determine the need for increased or improved instruction in modern foreign languages, and area and international studies, or to develop more effective methods or specialized materials for such training.

Program Operations:

The programs are discretionary grants and forward funded. All new proposals are reviewed by non-Federal readers who make recommendations to the Department of Education, which makes the final selection of grant recipients. Grants under the Centers, International Studies, and Research programs may exceed 12 months.

This program was first funded in 1959. Since that time, more than $320,385,000 in appropriated funds has been used to support a variety of activities to strengthen and improve this country's foreign language and international studies capabilities and has contributed to an increased awareness of international issues among the American people.

Program Scope

In FY 1982, 90 Advanced Centers will be supported in the second year of a two-year award cycle at an average cost of $113,333. Approximately 700 FLAS fellowships, including summer fellowships, will be awarded at an average cost of $8,500 each. The undergraduate international studies programs will support 33 continuation projects and 10 new projects each averaging $44,000. The research program will make 29 grants at an average cost each of approximately $41,000.

Program Effectiveness and Progress:

An early 1970's review of foreign language and area studies programs in the U.S. (based on a sample of 13,000 foreign language and area studies specialists, of whom about 10,000 were college or university faculty members) has provided data on the impact of the NDEA program. A sampling of previous holders of NDEA VI fellowships showed that almost all (89.1%) of the fellows used their foreign area training in their first job. Of the Ph.D. graduates, 99% were employed as language and world area specialists. The survey also indicated that the existing pool of specialists needs more focused development in certain aspects in order to achieve an upgrading of language skills. Of the world area specialists surveyed, only 25% reported that they could easily speak, read, and write a language of their area. The study showed that a major factor in acquiring and maintaining proficiency in foreign languages is the opportunity to utilize the language in a country where it is in regular use.

Studies on international and intercultural education and new curricula and instructional materials are intended for use in schools and colleges throughout the U.S. The impact of this program is suggested by a materials utilization survey which provides specific data on instructional materials for 50 different languages in 82 foreign language and area studies programs. Results of the survey show, for example, that of 24 respondent institutions engaged in teaching Chinese, 21, or 88 percent, were using materials produced under Title VI support; of 17 programs offering instruction in Hindi, 100 percent were using National Defense Education materials; and 6 out of 7 Arabic programs similarly reported utilization of Title VI supported materials.

Table 1

Summary of Awards

	1981	1982 (est.)
ADVANCED NATIONAL CENTERS		
No. of centers	90	90
Avg. cost per center	$ 116,670	$ 113,333
Centers	$10,500,000	$10,200,000
FOREIGN LANGUAGE AND AREA STUDIES FELLOWSHIPS		
No. of fellowships	905	694
Average cost	$ 7,980	$ 8,500
Fellowships	$ 6,100,000	$ 5,900,000
UNDERGRADUATE AND CONSORTIUM INTERNATIONAL STUDIES PROGRAMS		
No. of new programs	33	10
No. of continuation programs	12	33
Average awards	$ 44,000	$ 44,000
Undergraduate Programs	$ 2,000,000	$ 1,900,000
RESEARCH PROGRAM		
No. of awards	30	29
Average cost	$ 40,000	$ 41,379
Research Program	$ 1,200,000	$ 1,200,000
INTERNATIONAL UNDERSTANDING		
No. of awards	36	---
Average cost	$ 55,555	---
International Understanding	$ 2,000,000	---
TOTAL all programs	$21,800,000	$19,200,000

SOURCE: Program Files

The Comptroller General reported to the Congress in 1978 on the study of foreign languages and related areas. The report notes that recipients of Title VI program funds believe the Federal program administration to be fair and effective, and that the Federal program managers have made important improvements in the programs in the past several years.

At the time of the Comptroller General report, priorities for determining language and area studies fellowship grants were still based on data gathered in the late 1960's and early 1970's. The report observed that since national needs in foreign language and area studies is difficult to determine it could not be known whether the greatest national needs were being met.

In the 1981 competition the formal priorities were dropped in favor of supporting institutions where 3-year records showed successful placement of students.

The Comptroller General's report concluded that additional administrative improvements were needed. The report recommended that Title VI program staff:

Visit at least once every two years each of the 80 centers at institutions of higher education receiving Title VI grants.

Prepare and distribute to center officials and other appropriate parties a biannual report containing helpful "lessons learned" as gleaned from the reports submitted by each center to the Department of Education and visits to centers by staff members of the Department.

Provide feedback reports to the centers at least once a year on their reports to the Department of Education.

Develop a system to evaluate the effectiveness of the program providing starter grants to new international studies projects.

The President's Commission on Foreign Language and International Studies concluded in their recent report that "it will take a major, sustained national effort to raise American competence in foreign languages to levels commensurate with our nation's needs." The Commission also asserted that "international studies and language training programs are shrinking" while at the same time, "our needs for such training are intensifying." The Commission's report arrayed a host of recommendations intended to counter such declines and to increase national competency in foreign languages and international studies.

The Rand Corporation, in its report prepared for the President's Commission, presented findings that in some areas support the President's Commission conclusions but diverge in other areas. The findings from the Rand report that are most pertinent to the Language Training and Area Studies program are as follows:

- Study of all languages at colleges and universities has declined about 10 percent since the 1960s, while the study of uncommon languages has doubled in the past decade to a level of 60,000 students enrolled in college and university courses. Significant shortages remain, however.
- The number of Ph.D.s awarded in area studies has been stable (with some recent evidence of declining Ph.D. degree enrollment); the quantity of M.A.s has been increasing.
- It has become harder to place Ph.D. graduates in recent years, except for those in economics, law, sociology, business, and other professional skills. M.A. placement has been somewhat easier, particularly for graduates of general schools of international affairs. There is also potential demand for specialists in such emerging international fields as demography, energy, the environment, and export related businesses.
- In other fields there is excess supply, brought about by the saturation of the academic job market, but the numbers of graduates have declined very little in response to fewer job openings.
- The decline in demand is not likely to be compensated for by government or business employment, and may imply the need for curtailing admissions unless new sources of demand appear or existing ones are expanded.
- Title VI fellowship funds should not be used to stimulate general levels of supply, but should be allocated selectively to produce specialized skills, higher levels of competence, and needed skill-mixes.

The Rand report also listed needs in the program area:

- The universities face a special problem in supporting specialists in rare languages and the more exotic areas of the world. The demand for their services is small, but subject to urgent demand from government in times of crisis.
- Increased fellowship funds for foreign study and research, and adequate released time for faculty;

- Acquisition of special library materials, which has been impeded by the loss of Ford Foundation funding and by mounting costs of processing;
- Maintenance of national research, exchange and training centers, such as The International Research and Exchanges Board (IREX) and the American Research Center in Egypt;
- Better training in spoken foreign languages, particularly for use in business, government and personal contacts.

The Rand Corporation is currently conducting a two-phased evaluation of the Foreign Language and Area Studies Program. The recently completed phase one report analyzed program management and identified selected activities that maximize program efficiency.

The report's major findings are as follows:

Area Studies Program Centers

The centers have traditionally received the bulk of Title VI funds. Most centers, however, have not adapted their training to financial and market conditions, but continue to prepare students for research and teaching, and frequently emphasize the humanities in their programs. Although graduates in the humanities suffer the relatively highest levels of unemployment, centers have not linked their programs to more policy-oriented programs or helped students to identify and prepare for nonacademic jobs. The result is a gap between center focus and national need, as defined by academic, government, and business employers.

The report thus concludes that the program should make the following changes:

- adopt a more flexible definition of potential grant recipients;
- improve the link between area studies centers and professional schools;
- adopt a broader definition of "outreach" requirements for centers;
- require that on-site reviews be more thorough;
- clarify the criteria for review by awards panels;
- make a greater effort to recruit important scholars from institutions that do not apply for the program, to be members of review panels.

Area Studies Program: Fellowships

The report indicates that the Foreign Language and Area Studies program has not effectively influenced either the supply or the distribution of specialists. The lack of proper incentives has made the Education Department unsuccessful in encouraging language and area studies among students in the professions, and especially those in high-demand disciplines such as economics. Moreover, the rigidity of professional curricula makes it difficult for students to include language and area studies. The report thus concludes that the Department should take the following actions:

- determine trends in employment of former fellowship holders and assess the match between training and employment;
- establish a protected competition for advanced students of the professions and in high-demand disciplines;
- establish sabbatical awards for mid-career graduates to maintain and improve skills.

Undergraduate International Studies Program

The Education Department currently funds two-year "start-up" projects to promote the development of international studies in graduate or undergraduate curricula. The report's findings on the actual rate of continuation of these projects is that 42 percent were continued by the sponsoring institution after Federal funding ended. This is claimed to be a much higher rate of continuation than for other Federal programs with a similar "start-up" strategy. The report recommends that projects identified as successful in this program become part of the National Diffusion Network or that other funds be set aside for dissemination.

Research Program

Although the original intent of this program was to provide support for the other three program components, it has not done so. The research program has been a major source of new teaching materials for languages that are not usually taught. It is not widely publicized because its funds do not support the publication and dissemination of products developed with those funds. The report concludes that the Department should take the following actions:

- fund a dissemination study to determine the demand for research program products and the best ways of serving potential users;
- make "add-on" grants to prepare successful pre-tested materials for publication;
- increase support for materials for area studies and decrease the number of language surveys;
- coordinate the research program with the other Title VI program components.

The program staff began to initiate corrective action on several of these recommendations in the 1982 competition for centers and fellowships.

The second phase of this study, to be completed early in 1983, will analyze supply and demand trends for foreign language and area studies graduates, and assess the relationships between employment and program-supported training.

Current Analytic Activities:

Evaluation of the Foreign Language Training and Area Studies Program, Rand Corporation, Santa Monica, California. The evaluation is scheduled for completion early in 1983. The management evaluation part of this study (phase one) was completed in 1981. The study seeks to improve the program's objectives and procedures and to provide a means to better allocate program funds by world areas and languages.

Sources of Evaluation Data:

Language and Area Studies Review, Richard D. Lambert (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

Comptroller General of the U.S., Study of Foreign Languages and Related Areas: Federal Support, Administration, Need. September 13, 1978, Washington, D.C.

Foreign Language and International Studies Specialists: The Marketplace and National Policy. (A report for the President's Commission on Foreign Language and International Studies.) Sue E. Berryman, Paul F. Langer, John Pincus, and Richard H. Solomon (Santa Monica, California: The Rand Corporation, September 1979).

Strength Through Wisdom: A Critique of U.S. Capability. A Report to the President from the Presidents Commission on Foreign Language and International Studies. Government Printing Office, Washington, D.C. 1979.

Federal Support for International Studies: the Role of NDEA Title VI. (final report for phase one of a two-part study for the U.S. Department of Education) Lorraine M. McDonnell and others. Rand Corporation, Santa Monica, California, May 1981.

Program Files, Office of Postsecondary Education.

For further information about program operations,

Contact: Kenneth D. Whitehead, 245-9691.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Cooperative Education Program (CFDA No. 84.055)

Legislation: | **Expiration Date:**

Authorization: Higher Education Act of 1965 (Title VIII), Public Law 89-329, as amended by Public Law 90-575, October 16, 1968; and Public Law 92-318, June 23, 1972; and Public Law 94-482, October 12, 1976, and Public Law 96-374, October 3, 1980 and Public Law 97-35, August 13, 1981 and Public Law 97-35, August 13, 1981.

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1970	1/	$ 1,540,000
1971	1/	1,600,000
1972	$10,750,000	1,700,000
1973	10,750,000	10,750,000
1974	10,750,000	10,750,000
1975	10,750,000	10,750,000
1976	14,000,000	10,750,000
1977	16,500,000	12,250,000
1978	22,500,000	15,000,000
1979	28,000,000	15,000,000
1980	28,000,000	15,000,000
1981	35,000,000	23,000,000
1982	20,000,000	14,400,000
1983	20,000,000	No Funds Requested

Program Goals and Objectives:

To stimulate the development of cooperative education programs, discretionary grants are provided to institutions of higher education, combinations of such institutions and in some circumstances, public or private nonprofit agencies or organizations. Cooperative Education programs are developed in conjunction with public and private employers to provide work experiences for students either concurrent or alternating with periods of academic study. Work experiences relate to a student's career or academic objectives and also provide earnings which a student may use to help meet the costs of postsecondary education.

1/ One percent of the College Work Study appropriation was authorized to be used in support of Cooperative Education program at higher education institutions.

Four categories of grants are provided:

1. Administration grants - projects, generally focusing on a single department or cluster of departments in an institution of higher education, to develop and carry out cooperative education programs and to strengthen and expand linkages with employers (and local high school cooperative education programs).
2. Demonstration and exploration grants - large projects to help institutions plan and initiate institution-wide cooperative educational approaches to postsecondary programs of study.
3. Research grants - projects to collect, study and disseminate information on cooperative education programs and practices.
4. Training grants - projects to provide program directors, faculty and professionals in business with information on how to administer and expand their cooperative education programs.

Program Operations:

Under Section 802 of Title VIII, administration grants are awarded to institutions. Individual units of an institution are eligible for a maximum of five years of support. An award to an individual institution may not exceed $325,000 in any one year. In the case of a consortium of institutions, the maximum award in one year is $250,000 times the number of institutions in the consortium. Further restrictions on amount of awards are: (1) the first year's grant for a unit may not exceed 100 percent of total administrative costs of the project, (2) the second year's grant for a unit may not exceed 90 percent of such cost, (3) the third year's grant for a unit may not exceed 80 percent of such cost, (4) the fourth year's grant for a unit may not exceed 60 percent of such cost, and (5) the fifth year's grant for a unit may not exceed 30 percent of such cost. Funds may not be used as compensation for student employment. Salaries and other administrative expenses for cooperative education administrators are payable from grant funds.

Institutions receiving second, third, fourth, and fifth year administration grants for specific individual units are required to provide 10, 20, 40, and 70 percent of administration costs for those respective years. In addition, program regulations require each administration grant recipient to spend during the grant year not less than it spent for cooperative education during the previous fiscal year in which it received program funds.

An institution of higher education is responsible for assigning the student to a job relevant to his academic program and providing supervision during the work period. The institution evaluates, with employer input, the student's job performance and in most cases awards academic credit for the work experience. Cooperative education is an academic program and credit is recorded on the transcript.

Under Section 803 of Title VIII, grants are made to institutions of higher education and other non-profit organizations to conduct workshops and other learning activities, to train persons in the planning, establishing, administration, and coordination of cooperative education programs.

Under Section 803 of Title VIII, grants are also made to non-profit organizations and higher education institutions to conduct research into methods of developing, improving, and promoting the use of programs of cooperative education in institutions of higher education.

In Fiscal Year 1979, grants were made for the first time for large, comprehensive co-op projects. The Cooperative Education Program administers Cooperative Education projects funded by the Secretary to demonstrate or explore the feasibility or value of innovative methods of copperative education designed to expand student enrollment and discover more effective structures for developing school-wide programs. Successful projects will serve as examples to similar schools of the most beneficial approach for providing a cooperative education program at all collegiate levels open to students in all fields.

Program Scope:

In 1970, there were only 195 cooperative education programs in the country. By 1979, the number of institutions which conducted cooperative education programs grew to 1049, which amounts to about one-third of the Nation's institutions of higher education. Over three-fourths of the 1,040 Co-op colleges and universities offering cooperative education have received Federal grant support. During the ten-year funding history of this program, fifty percent of the applicants have been successful in obtaining grants.

In Fiscal Year 1980, 544 proposals were submitted. They requested $48,974,036. With an appropriation of $15 million in 1980, 251 administration grants (total of $11,999,284), 14 training grants (total of $787,020), 4 research grants (total of $212,980), and 3 demonstration grants (total of $2,000,000) were awarded to a total of 272 institutions. Forty-three percent of the grants (worth $5,078,048) went to two-year colleges and 57 percent of the grants (worth $6,921,236) went to four-year colleges. (See Table 1 for more details.)

In Fiscal Year 1981 with an appropriation of $23,000,000, a total of 235 grants were made for all catagories. As Table 2 indicates, the average cost for projects in all catagories increased. Also demonstration grants went from 3 to 12, with the mean award increasing to $750,000.

In FY 1982 funding was reduced to $14,400,000. Total grants dropped to 136 with reductions in all catagories in total as well as mean grant levels.

Program Effectiveness and Progress:

1977 was the last year that a nationwide study of cooperative education was completed. It compared cooperative education students and graduates with students and graduates in the same academic field who had not participated in cooperative education programs.

Selected findings of that study were:

- o Co-op students perceived that their job skills improved as they advanced through their undergraduate programs and approached graduation. Those students had a more specific sense of their career objectives than did students who had no cooperative education experience.

- o Among graduates, the findings showed that cooperative education participants had a more direct relationship between college major and full-time after-graduation employment, and current job and career plans, than did graduates who had not participated in cooperative education.

- o For the majority of students and institutional personnel, the financial assistance aspect of cooperative education was secondary to its educational potential. For the remainder paramount importance in their decision to enroll in cooperative education. It was very important to even larger proportions of certain subgroups within the student sample, specifically minority groups and economically disadvantaged students.

- o Estimated lifetime financial returns to students were greater for those students who participated in cooperative education, even when it required an additional year of schooling.

- o Additional costs experienced by employers in hiring cooperative education students compared to their regular employees were small. The only appreciably greater costs were the one time start-up costs and costs assigned to the evaluation of Co-op students. On the other hand, benefits included greater student productivity and the ability of employers to recruit future full-time employees at reduced cost.

- o In a period of about six years, cooperative education grants have been very effective in increasing the number of cooperative education programs (from approximately 300 to over 1,000), but apparently have had little influence on the nature and structure of the programs.

- o Overall, grants absorbed approximately 55 percent of the institutional costs of developing and maintaining programs of cooperative education.

- o Lack of understanding of and information about cooperative education were commonly given reasons for non-participation in Cooperative Education by students, institutions, and employers.

In 1980 an exploratory evaluation was completed which was concerned primarily with program direction and management. The study found that:

- o program managers and policymakers at the Federal level basically agree about the objectives of the program and the strategy for achieving these objectives through the distribution of seed money.

Table 1

COOPERATIVE EDUCATION PROGRAM
Summary of Funding History

Applications and Awards, 1979, 1980, and 1981

	FY 79	FY 80	FY 81	% change (1980 to 1982
A. Applications Received				
TOTAL	606	544	461	-16
Administration	545	468	380	-19
Demonstration	19	43	46	+ 6
Research	19	10	13	+30
Training	23	23	22	- 5
B. Funds Requested				
TOTAL	$33,429,514	$48,974,036	$69,269,153	+41
Administration	29,123,943	28,052,743	38,307,013	+36
Demonstration	1,961,940	18,549,167	25,976,013	+40
Research	878,017	503,378	909,049	+80
Training	1,465,614	1,868,748	4,077,078	+118
C. Applications Approved				
TOTAL	286 (47.2%)	272 (50%)	235 (50%)	-14
Administration	256 (47.0%)	251 (54%)	210 (55%)	-17
Demonstration	8 (26.3%)	3 (7%)	12 (26%)	+300
Research	5 (26.3%)	4 (40%)	5 (38%)	+25
Training	17 (73.9%)	14 (61%)	8 (36%)	-43
D. Funds Obligated				
TOTAL	$14,980,960	$14,999,284	$22,623,673	+50
Administration	12,517,431	11,999,284	12,998,673	+ 8
Demonstration	1,020,685	2,000,000	8,650,000	+332
Research	278,133	212,980	200,000	- 7
Training	1,164,711	787,020	775,000	- 2
E. Average Size of Grant				
Administration	$ 48,896	$ 47,806	$ 61,898	+29
Training	68,512	56,216	96,875	+72
Research	55,626	53,245	40,000	-25
Demonstration	127,586	666,667	720,833	+ 8

Table 2

Summary of Awards

	1981	1982	1982 Non-Competing Continuation Grants
Administration			
No. projects	210	121	8
Average cost	$ 61,898	$ 62,000	
Total cost	$12,998,673	$7,404,000	$596,000
Demonstration			
No. projects	12	8	
Average cost	$ 720,833	$ 684,000	
Total cost	$ 8,650,000	$ 5,470,000	
Research			
No. projects	5	4.	
Average cost	$ 40,000	$ 32,500	
Total cost	$ 200,000	$ 130,000	
Training			
No. projects	8	3	4
Average cost	$ 96,875	$ 93,000	
Total cost	$ 775,000	$ 281,000	$519,000
Total budget authority	$23,000,000	$14,400,000	

- Project operators in the field understand and agree with the Federal program objectives.

- Those aspects of the program relating to the grant award process have measurable objectives and are well-documented; therefore, the achievement of short-range or management objectives can be measured.

- Without long-range program goals relating to the use of Federal financial support, it is difficult to measure performance at the institutional or national levels.

- Even if long-range program goals or objectives were specified, data from the institutions are not systematically collected or aggregated to document national accomplishments.

- Management and planning practices offer limited Federal direction to grant recipients, thereby impeding the likelihood that the impact of Federal funds can be measured.

Using these findings, a series of management and evaluation options were developed. These options included the development of a regular planning component for the program, the specification of measurable long-range objectives and annual priorities based on an assessment of community needs, revisions to the grant award process to provide more Federal direction to the program, and the establishment of more systematic monitoring of grant recipients. Using this as a base, meetings were held with the community to clarify program definitions, goals, and activities. Both study findings and suggestions from the community were incorporated in program regulations published on August 4, 1981, and the subsequent revised regulations published April 21, 1982.

Current Analytic Activities:

No contracted studies are planned, however, OPE staff will conduct a special analysis of FY 1980 and 1981 program data.

Sources of Evaluation Data:

Program Files, Office of Postsecondary Education.

Applied Management Sciences, "Cooperative Education - A National Assessment." Silver Spring, Maryland, 1977.

Applied Management Sciences, "An Evaluability Assessment of Cooperative Education," Silver Spring, Maryland, 1980.

For further information about program operations,

Contact: Morris L. Brown, 245-2146.

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Education Outreach Programs1/ (CFDA No. 84.046)

Legislation:	Expiration Date
Higher Education Act 89-329, as amended by Public Law 96-374, 1980	September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1981	$20,000,000	$2,200,0002/
	1982	$ 8,000,000	None
	1983		None Requested3/

Program Goals and Objectives:

The overall goal of the Education Outreach Program is to increase access to postsecondary continuing education programs for adults whose educational needs have been inadequately served.

Program Operations:

This program provides grants to States, institutions of higher education, public and private institutions and organizations, business, industry, and labor. Ninety percent of the appropriation is allotted on a formula basis to States having an agreement pursuant to Section 1203 of the Higher Education Act. The formula allots 60 percent of the funds on the basis of the ratio of each State's adult population to the total adult population of all States. Each State, in turn, uses its allotment as follows: (1) 15 to 20 percent for comprehensive planning, with an emphasis on continuing education planning; (2) 12 percent or $50,000, whichever is greater, to develop and provide educational and occupational information and counseling services; and (3) the balance for continuing education grants to institutions and organizations, business, industry, and labor, or any combination thereof. The States also may use 5 percent of the funds or $40,000, whichever is greater, of the amount available for continuing education State grants for administration and operation of the

---

1/ The Education Amendments of 1980 redirected and combined three programs formerly authorized separately under the Higher Education Act, namely: the Community Service and Continuing Education program, the Education Information Centers program, and the State Postsecondary Education Commissions program. For details on these programs see, the Department of Education Annual Evaluation Report for FY 1980.

2/ $15 million was originally appropriated, of which $12.8 million was rescinded by the Congress.

3/ No funds were requested or appropriated in FY 1982 and none are requested for FY 1983. This will be the last year this program is included in the Annual Evaluation Report, unless funds are appropriated for it.

continuing education programs. Each State which has entered into an agreement with the Secretary pursuant to Section 1203 receives its allotment, with no State plan or application being required. At the end of the grant period, each State submits a report on the activities conducted with the funds.

Ten percent of the appropriation is set aside for Federal discretionary grants to institutions of higher education, public and private institutions and organizations, business, industry, labor and States, or any combination thereof. These funds support projects designed to demonstrate the effectiveness of alternative providers and approaches in increasing access to postsecondary continuing education opportunities for underserved adults.

One-third of the total program costs under both the State-administered part of the program and the discretionary part of the program must be supported by non-Federal funds.

Program Scope:

This program did not operate in FY 1981. The Congress initially appropriated $15 million for it but later rescinded $12.8 million. The remaining $2.2 million was made available to those States and Territories which participated in the former Community Service and Continuing Education Program in FY 1980 for administration and close-out of activities supported in prior years.

Program Effectiveness and Progress:

The program has never been operative.

Current Analytic Activities:

None planned

Sources of Evaluation Data:

Program files, Office of Postsecondary Education.

For futher information about program operations,

Contact: Charles Griffith, 245-9868.

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Fund for the Improvement of Postsecondary Education (CFDA No. 84.116)

Legislation:	**Expiration Date:**
GEPA Part A Sec. 404, Enacted June 23, 1972 P.L. 92-318, Amended October 12, 1976 P.L. 94-482. Enacted as Title X, Higher Education Act, October 3, 1980 P.L. 96-374.	September 30, 1985

Funding History:

Year	Authorization	Appropriation
1973	$ 10,000,000	$ 10,000,000
1974	50,000,000	10,000,000
1975	75,000,000	11,500,000
1976	75,000,000	11,000,000
1977	75,000,000	11,500,000
1978	75,000,000	12,000,000
1979	75,000,000	13,000,000
1980	75,000,000	13,500,000
1981	20,000,000	13,500,000
1982	13,500,000	11,520,000
1983	13,500,000	11,900,000[1]

Program Goals and Objectives:

The purpose of the Fund, as set forth in its legislation, is to improve postsecondary educational opportunities by providing assistance to educational institutions and agencies for a broad range of reforms and innovations.

In the authorizing legislation. Congress identified eight broad purposes for which grants and cooperative agreements may be awarded. They are:

1) encouraging the reform, innovation, and improvement of postsecondary education and providing equal educational opportunity for all;
2) creation of institutions and programs involving new paths to career and professional training and new combinations of academic and experiential learning:
3) establishment of institutions and programs based on the technology of communications;
4) carrying out in postsecondary educational institutions of changes in internal structure and operations designed to clarify institutional priorities and purposes:
5) design and introduction of cost-effective methods of instruction and operation;
6) the introduction of institutional reforms designed to expand individual opportunities for entering and re-entering institutions and pursing programs of study tailored to individual needs;

---

[1] Budget request

7) introduction of reforms in graduate education in the structure of academic professions and in the recruitment and retention of faculties;
8) creation of new institutions and programs for examining and awarding credentials to individuals, and the introduction of reforms in current institutional practices related thereto.

Program Operations:

To increase the effectiveness of education beyond high school, the Fund for the Improvement of Postsecondary Education (FIPSE) solicits exemplary, locally developed improvement proposals. These projects are funded because they address widely felt problems and opportunities, and have potential for triggering a chain reaction of improvement nationally without sustained Federal involvement.

Fund competitions are characterized by: 1) wide eligibility (colleges, universities, consortia, educational associations, postsecondary agencies, and other organizations with concerns in postsecondary learning can apply), 2) applicant freedom to define the problem and the solution, 3) a 35:1 ratio of preliminary proposals to grants (the Fund supports only the best proposals, and grantees, therefore, also benefit from the prestige attached to the competition), 4) a simple but rigorous review process.

Competitions are designed to attract both experienced and new applicants (35% of the grantees never previously applied for any Federal grant). After submission, proposals are reviewed by people in the postsecondary field (teachers, administrators, students, researchers and others), Fund staff, and State postsecondary commissions. The director is advised by a 15 member National Board in establishing policy and in reviewing grant proposals. Awards are granted for one to three years. Grants usually provide seed money to improve existing programs and services or to initiate new approaches. Other people focus on assessment dissemination, and evaluation activities, for example. The awards are made to those proposals that define a widely felt need, present an improved strategy for meeting the need, and demonstrate the ability to implement that strategy.

Most awards are made through the Comprehensive program, a competition open to action-oriented proposals covering the whole range of postsecondary issues. The Fund also employs targeted competitions, designed to highlight specific national needs and opportunities. Such competitions have in the past stimulated work on competence-based education, improved educational services for disadvantaged youth, and methods for serving adult learners more effectively.

Program Scope:

Since it was established in 1972, the Fund has supported over 750 projects, totaling $100 million, located in all States and most of the outlying areas.

In FY 1981, 89 new awards and 112 continuing awards, were made in Comprehensive Program. 40 grants in smaller targeted competitions were also made. In recent years grant size has been reduced in order to provide funding for a variety of activities. The consequences have been 1) lower margins of safety for individual projects, and a 2) decreased Fund ability to cope with issues requiring large grants (e.g., computer-aided instruction telecommunications projects, systematic governance reform, restructuring of major educational institutions). Where the mean new grant size was $92,500 in 1973 it fell to $72,500 in 1977, and $64,100 in FY 1982. Tables 1 and 2 provide more detail on these and the FY 1982 funding patterns. Also over this period both the maximum size of the award and the percent of grants above $100,000 in 1981 also dropped by over half of the amount of 1973.

Program Effectiveness and Progress:

Perhaps the most significant indicators of the impact of the Fund is how grants affected the host institution programmatically and whether these activities were adopted by other institutions. Some evidence in this regard is available from a program-funded impact study. Based upon interviews with project directors it was reported that:

o Funding strategy, based on local initiatives attacking widely felt problems and opportunities, was an "unqualified success." Of those projects designed to continue locally after the grant ended, 70% succeeded (a continuation rate several times higher than typical seed grant programs); a majority of the grants have been so successful that they have inspired other institutions to improve also.

o Project impact was greater than anticipated in 68% of the cases.

o Over three-fourths of the projects represented a departure for the host institution.

o Over two-thirds improved the general climate for innovation at the host institution.

o Almost all reported that the grant had been essential in providing moral support, legitimacy, and visibility; 80% felt the project would either not have begun or would not have survived without the grant.

o A typical grant directly influenced educational practice at twenty other institutions.

o Grants awarded in the 1973-78 period had received an estimated 300,000 requests for information.

o In terms of program content four out of five directors reported that it increased program cost-effectiveness.

o 33% of Fund projects served a student population that is over half minority learners while 61% of the projects had minority populations of over one-fifth.

Table 1

Fund for the Improvement of Postsecondary Educations - Program Data 1982

	Comprehensive Program	Mina Shaughnessy	Final Year Dissemination	Renewals and DOL
Applications Received	2,246	2,192	45	NA
Grants (#)	71	15	11	110
Grants ($)	$4,551,389	$353,000	$75,792	$6,854,610
Grants by Institutional Type				
2 year public	6	1	0	10
2 year private	1	0	0	2
4 year public	21	5	6	47
4 year private	20	4	1	17
public/private organizations (all others)	23	5	3	41
Coop agreement	0	0	1	0
TOTALS	71	15	11	117

1/ Includes $100,000 transferred to the Fund from the Carnegie Corporation.

SOURCE: U.S. Department of Education, Office of Postsecondary Education.

Table 2

Funds for the Improvement of Postsecondary Education – Changes in Amounts of Comprehensive Program Grants

	1973	1977	1981 (new grants)	1982
Average Grant:	$ 92,500	$ 72,500	$ 64,067	$64,100
Maximum Grant:	375,000	188,616	165,500	--
% of Grants $100,000+:	31%	19%	12%	--

	1973	1977	1981	1982
220-380,000	10%			
200-220,000	5%			
180-200,000	3%	2%		
160-180,000	2%	1%		
140-160,000	6%	0%		
120-140,000	3%	2%		
100-120,000	6%	5%	8%	
80-100,000	7%	15%	12%	
60- 80,000	9%	22%	28%	
40- 60,000	42%	23%	24%	
20- 40,000	8%	17%	18%	
0- 20,000	2%	4%	5%	
TOTAL:	98%*	101%*	98%*	

Source: Program files

* Rounding errors

Each year the Secretary announces the program priorities for competitions to be conducted that year. Priorities for 1982 were as follows:

1) increasing the availability of high quality programs for all postsecondary students;
2) expanding professional education and employment for racial and ethnic minorities and women;
3) expanding learning opportunities for the full-time worker;
4) increasing the use of active modes of learning that allow learners to take greater responsibility for their own learning;

- One-quarter of the student-directed projects served a clientele at least two-thirds female.

- 46% of the projects served a predominantly adult audience.

The evaluation also assessed the Fund's management in three aspects: characteristics of grantees, project monitoring, and acquisition and use of information from projects. The following conclusions were made:

- The Fund neither duplicated the activities of other Federal agencies nor awarded grants to recipients of other Federal support. In general, the projects received relatively moderate amounts of support. Two-thirds of the grants have been less than $75,000 per year.

- About 70 percent of the Fund's projects directed their activities primarily toward students. In general, project activities were oriented toward action rather than research.

- Local project directors appeared to be satisfied with the Fund's method of monitoring.

- The Fund has collected final reports from only one-third of its completed projects. The quality of half of the project evaluations contained in the final reports, however, was judged inadequate.

- The lack of easily accessible, adequate records impedes the Fund's visibility, weakens its accountability, and inhibit's dissemination of useful resource material.

- Overall, the vast majority of the Funds' projects seem to have a continuing impact on their host institution after the Fund's support has ended.

Current Analytic Activities

The final report of a major external evaluation of the Fund, commissioned by the Fund and carried out by the NTS Research Corporation, is due in the Fall of 1982. Findings cited above are drawn from their interim reports.

Sources of Data

Program files, Office of Postsecondary Education.

NTS Research Corporation, "An Evaluation of the Fund for Improvement of Postsecondary Education, Vol. 1: Case Studies. Vol. 2: Applicants and Grantees 1980" (Sponsored by the FIPSE.)

For further information about program operations,

Contact: Stephen C. Ehrmann, (202) 245-8100.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, (202) 245-8281.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Land-Grant Colleges and Universities (CFDA No. 10.501)

Legislation:

Second Morrill Act of 1890, as amended;
26 Stat. 417; 7 U.S.C 322, 323; Sec. 506
Higher Education Amendments of 1972, Sec.
1161 Higher Education Amendments of 1980.

Expiration Date

Indefinite

Funding History:

Year	Authorization	Appropriation 1/
1964	$14,500,000	$14,500,000
1965	14,500,000	14,500,000
1966	14,500,000	14,500,000
1967	14,500,000	14,500,000
1968	14,500,000	14,500,000
1969	14,720,000	14,550,000
1970	14,922,000	14,720,000
1971	14,720,000	12,680,000
1972	14,720,000	12,600,000
1973	15,160,000	18,700,000 2/
1974	15,160,000	12,200,000
1975	15,160,000	12,200,000
1976	15,160,000	12,200,000
1977	15,160,000	14,200,000
1978	2,700,000 3/	2,700,000 3/
1979	2,700,000	2,700,000
1980	2,700,000	2,700,000
1981	2,800,000 4/	2,800,000 4/
1982	2,800,000	2,800,000
1983		No Funds Requested

1/ Figures are the sum of permanent appropriation under the Second Morrill Act (i.e., $50,000 for each State and each jurisdiction regarded as a State for the purpose of this Act) and funds annually appropriated under the Bankhead-Jones Act.

2/ This figure includes a one-time appropriation of $6,000,000 for the two newly designated land-grant colleges of the Virgin Islands and Guam. Each jurisdiction received $3,000,000 to be invested in U.S. Government or other safe bonds, with the resulting interest to be used by the land-grant colleges.

3/ In FY 1978, administration of the Bankhead-Jones Act was transferred to the Department of Agriculture by Public Law 95-113. The $2,700,000 administered by the Office of Education is the sum of $50,000 to each of 54 jurisdictions authorized by the Second Morrill Act.

4/ The Education amendments of 1980 established the Community College of American Samoa and the College of Micronesia as land grant colleges, bringing the number of jurisdictions to 56. A one-time grant of $6,000,000, similar to that given to the College of Virgin Islands and Guam in 1973, has not yet been appropriated.

Program Goals and Objectives:

The goal of the land-grant programs is to lend Federal support to the several States, and jurisdictions regarded as States for the purpose of this legislation, for collegiate-level instruction in agriculture and the mechanical arts. In addition, program funds may be used to support instruction in the English language and the various branches of mathematical, physical, natural, and economic sciences. The objective of the Morrill Act of 1862 was to provide public lands to any State that would agree to establish an institution in which programs in agriculture and the mechanical arts would be available to the sons and daughters of working class people. The objective of the Morrill Act of 1890 was to provide those States having a dual school system, to use annual funds for support of land-grant colleges and to authorize funds authorized for the establishment of a land-grant college for black persons. Later amendments to the land-grant colleges program were designed to maintain and increase the level of Federal support in continuing the availability of these educational programs for persons whose educational opportunities were limited.

Program Operations:

A land-grant college or university is an institution designated by a State legislature for the benefits of the First Morrill Act of 1862 or the Second Morrill Act of 1890. The original Act provided public land (in the amount of 30,000 acres for each Senator and Representative of a State) in order to ensure the development in each State of at least one institution "to teach such branches of learning as are related to agriculture and the mechanical arts." The Second Morrill Act provided for an appropriation of $25,000 for each State having a land-grant institution. The Nelson Amendment of 1907 doubled these appropriations to $50,000. Puerto Rico was added in 1908; the District of Columbia in 1969; Guam and the Virgin Islands in 1973, and American Samoa and Micronesia in 1980. The Bankhead-Jones Act of 1935 is another program for land grant colleges and is funded through the Agriculture Department.

In fiscal year 1978, administration of the Bankhead-Jones Act was transferred to the Department of Agriculture. The Department of Education administers only the Second Morrill Act, with its $50,000 to each of 56 jurisdictions. There are currently 74 land grant institutions within these 56 jurisdictions. Monies are paid directly to State treasurers and, in the event that more than one land-grant institution exists in a State, State legislatures must provide by statute for the division of these monies. Funds may not be used to purchase land, nor may they be applied to the purchase, erection, repair, or preservation of buildings. Each land-grant institution is required to provide annually to the U.S. Department of Education a report on the expenditure of monies received under all land-grant appropriations.

Program Scope:

In Fiscal Year 1981, $2,800,000 was apportioned among the 56 jurisdictions. Of the 74 land-grant institutions; only Cornell University in Ithaca and the Massachusetts Institute of Technology retain elements of private control. All of the land-grant colleges offer educational programs of more than two years duration. Land-grant institutions now exist in all [illegible]es, the District of Columbia, Guam, Puerto Rico, Virgin Islands, American Samoa and Micronesia.

Table 1

1980 Funding by Ethnicity

	Institution		Funding	
	Number	Percent	Amount	Percent
Historically Black	16	22	$ 207000	7
Predominately Black	2	3	100000	4
Hispanic	2	3	100000	4
Samoia and Micronesia	2	3	100000	4
All	74	100	$2800000	100

Sixteen land grant institution are Historically Black which represents 22 percent of the institutions but only 7 percent of the funding. Seventeen States have two land grant colleges and all the other jurisdictions have only one. Sixteen of these States had to split there $50,000 between their historically black school and their white school.

Program Effectiveness and Progress:

The land-grant colleges and universities program assists 74 land-grant institutions in meeting and continuing costs of instruction and equipment. Since these grants form a very small part of the institution's recent budgets and the use of land-grant monies is of a discretionary nature, the current impact of these funds is difficult to assess. Nonetheless, abundant historical evidence indicates that the land-grant institutions created by this program have provided the bulk of the technical expertise which has made the U.S. agricultural sector the most technologically advanced and dynamic in the world.

Current Analytic Activities:

None

Sources of Evaluation Data:

Program files, Office of Institutional Support,
Division of Facilities and General Support.

For further information about program operations,

Contact: Neil McArthur, 245-2806

For further information about program operations,

Contact: Jim Maxwell, 245-7884

ANNUAL EVALUATION REPORTS ON EDUCATION PROGRAMS

Program Name:

College Housing Loans (CFDA No. 84.142)

Legislation: Housing Act of 1950, Title IV

Expiration Date: No Expiration Date

Funding History:	Year	Authorization	Appropriation[1]
	1973	Indefinite	$12,395,000
	1974	"	12,946,000
	1975	"	14,758,000
	1976	"	12,863,000
	Transition Quarter		3,607,000
	1977		12,640,000
	1978	"	10,299,000
	1979	"	13,097,000
	1980	"	13,645,000
	1981	"	279,000[1]
	1982	"	200,000[1]
	1983		40,000

Program Goals and Objectives:

To provide financial assistance to colleges and universities for the construction or purchase of housing and essential housing related facilities, a program of loan assistance has been authorized. Currently, loans are limited to construction which addresses energy conservation, and construction or acquisition of housing for institutions with severe housing shortages.

Program Operations:

The College Housing Loan program enables the Secretary of Education to make direct Federal loans to higher education institutions at a three percent interest rate. Loans for energy conservation and construction or acquisition of housing for institutions with severe housing shortages are provided from funds borrowed from the U.S. Treasury funds obtained from borrowing through the sale of participation certificates (raised through GNMA) and interest income and collections from prior loans (revolving fund). The difference in interest owed on participation certificates (slightly more than 5 percent) and the interest earned on loans (3 percent) was previously met by congressional appropriations. Most of the difference will now be paid from the account's unobligated balance. Collections on past loans also replenish the loan fund.

---

[1] Permanent indefinite appropriation "Payment of Participation Sales Insufficiencies" in the Independent Offices Appropriation Act, 1967.

Past loans were made at an interest rate of three percent and have terms of not more than 50 years. Current loans also made at a 3 percent rate are for only 30 years. Eligible institutions include public or private nonprofit colleges and universities, teaching hospitals, and certain vocational institutions. In past years, applications for loan reservations were received and reviewed in the Department of Housing and Urban Development's headquarters. In FY 1981, program authority and administrative control shifted to the Department of Education central office. Loan funds are disbursed to educational institutions during the construction of projects, provided that all of the program prerequisities specified in the loan agreements have been met.

In FY 1981, money available for construction and acquisition loans was distributed based upon four institutional factors, 1) historically residential, 2) use of existing dorms, 3) measure of existing housing deficiencies and 4) relative housing deficiency. In addition, 25 percent of the funds were reserved for energy loans. Energy loan applicants were assessed on the payback period that is needed for the energy savings to pay off the loan. Institutions were expected to be able to pay off the loan within the payback period plus 2 years.

Program Scope:

Table 1 shows the loan commitments for 1981. Seventy five percent of the $68,159,000 was committed to housing construction loans. There were 19 loan commitments made in 1981. Only twenty percent of the available funds were used on energy loans but since the average housing loan, is 3.3 times higher than an energy loan, there were more energy loans committed than housings loans.

Table 1

1981 Loan Commitments

Housing Construction:	
# of loan commitments	19
Amount of commitments	$51,119,000
Average loan commitment	2,690,000
Energy Conservation Projects:	
# of loan commitments	21
Amount of commitments	$17,040,000
Average loan commitment	811,000
Total # of commitments	40
Total of commitments	$68,159,000

Program Impact:

An ED sponsored study of college housing shows that two-thirds of the institutions provide residential facilities for their students; 99 percent of the universities, 87 percent of the four-year colleges and 36 percent of the two-year colleges. Private institutions (53 percent) provide student housing for a larger percentage of their students than public institutions (32 percent). See Table 2. Occupancy rate is high, between 95 and 101 percent of designed capacity. Only about 1 percent of the students live in substandard housing. Single students paid an average of $108 per month at a private institution and $97 per month at a public institution. The study also showed that private schools are likely to place a higher priority on energy conservation loans than public schools, see Table 3.

Table 2

Students Housed at Institutions
With Residential Facilities, Fall 1981

Type of Institution	All Institutions	Number of Institutions At Institutions With Housing	Number of Students Housed (000)	As a Percent of Full-Time Enrollment
Public				
Universities	112	110	626	31
Four-Year Colleges	420	341	546	34
Two-Year Colleges	900	206	82	24
Private				
Universities	74	73	234	42
Four-Year Colleges	1285	1139	722	59
Two-Year Colleges	246	205	77	51

Source: HEP Student Housing Survey

Table 3

Percent of Institutions Where Energy Conservation is Highest Priority

	University	4-Year	2-Year
Public	31	38	23
Private	25	28	25

SOURCE: HEP Student Housing Survey

Sources of Evaluation Data

Program files, U.S. Department of Education Office of Postsecondary Education. Higher Education Panel Survey 55. American Council on Education, Washington, D.C., 1982

For further information about program operations,

Contact: Charles Griffith, 245-3253

For further information about studies of program effectiveness,

Contact: Jim Maxwell, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Annual Interest Grants

Legislation:

Title VII-C, Section 745 of the Higher Education Act of 1965; as amended by the Higher Education Amendments of 1972 (formerly Title III, Section 306 of the Higher Education Facilities Act of 1963; Public Law 88-204) and Higher Education Amendments of 1980, P.L. 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1969	$ 5,000,000	$ 3,920,000
1970	11,750,000	11,750,000
1971	25,250,000	21,000,000
1972	38,750,000	29,010,000
1973	52,250,000	14,069,000
1974	65,750,000	31,425,000
1975	79,250,000	0 1/
1976	92,750,000	0 1/
1977	Indefinite	0 1/
1978	Indefinite	4,000,000
1979	Indefinite	29,000,000
1980	Indefinite	29,000,000
1981	Indefinite	26,000,000
1982	Indefinite	25,500,000
1983	Indefinite	25,000,000 (est.)

Program Goals and Objectives:

Annual Interest Grants program is one of four programs (which include also Loans for Construction of Academic Facilities, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities) 2/ which were designed to help

---

1/ No appropriations were requested of funds for continuing grant obligations in FY 1975, FY 1976, or FY 1977. A new accounting procedure was instituted wherein all outstanding obligations were de-obligated so that program obligations will agree contractually with the years in which payments commence under each grant agreement.

2/ New funding for Grants for the Construction of Graduate Facilities and Loans for the Construction of Academic Facilities ceased in 1969 (loans, however, were authorized to the extent that funds became available from cancellation of previous loan commitments). In 1978, at Congressional initiative, two loans totaling $7.2 million were authorized to assist Georgetown University and Tufts University in the construction of two model inter-cultural centers. In addition, Congress appropriated $5 million in grants for the same project under the Title VII-B Graduate Facilities Grant Programs.

institutions of higher education meet a national need for academic facilities. The Annual Interest Grant Program became operational in Fiscal Year 1970 and was designed both to encourage the use of private capital for construction of academic facilities as well as to reduce the interest burden on borrowers to a level commensurate with direct loans for academic facilities.

Program Operations:

During the active years of this program, institutions of higher education, cooperative graduate center boards, and higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) were eligible to apply for Federal annual interest grant assistance on loans obtained in the private market. Up to 90 percent of the cost of a project was eligible for loan subsidies over a fixed period, which could not exceed 40 years.

Subsidy payments commence after either long-term financing arrangements have been consummated or after the project has been completed--whichever is later. Subsidies represent the difference between the interest amounts payable at the commercial rate on the loan and the amount payable at an interest rate of 3 percent. Not more than 12.5 percent of the annual appropriations for this program has been allowed for grants to any one State. Further, the aggregate principal amount of loans (or portions thereof) with respect to which annual interest grant subsidies were approved can not exceed $5 million per campus during any Federal fiscal year.

When new awards were being issued, program priorities focussed upon applications from public community colleges and public technical institutions, from developing institutions, and from institutions in which enrollments from low-income families were at least 20 percent of the student body. Applications from all other institutions were regarded as a secondary priority. Within these two priority categories, requests were awarded so as to encourage a distribution of funds to those institutions or branch campuses which were in urgent need of additional academic facilities.

Program Scope:

No awards for annual interest grants have been made since FY 1973. Since the program's inception in FY 1970, 711 grants (subsidizing a total loan volume of $1,434,571,000) have been approved. As of the close of FY 1981, 631 of these grants (subsidizing a loan volume of approximately $1.3 billion -- or 89 percent of the total) were in active pay status. Thirty-three projects have been paid in full, 30 have been terminated and 17 are not yet in pay status.

Federal obligations for subsidies of annual interest grants amounted to $8,000 in FY 1971; $2,105,000 in FY 1972; $6,005,000 in FY 1973; $11,408,000 in FY 1974; $16,657,000 in FY 1975; $18,950,000 in FY 1976; $23,972,217 in FY 1977; $25,733,884 in FY 1978; $25,057,769 in FY 1979;

$24,626,106 in FY 1980; $24,727,769 in FY 1981, and an estimated $25,144,000 in FY 1982. It is anticipated that when the total loan volume comes into active pay status, annual Federal obligations will approximate no more than $29,000,000 and that final payments under this program will extend until roughly 2020. Of the $1,434,571,000 total subsidized loan volume, $364,595,000 (or 25.4 percent) of the loans are held by two-year institutions and $1,069,976,000 (or 74.6 percent) of the loans are held by four-year colleges and universities.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 57 States and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commerical loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities were constructed costing in excess of $10 billion.

The large volume of academic facilities construction supported by this program has met national demand and the program has successfully accomplished its objectives. While certain areas of the country may face temporary shortages of academic space, existing conditions do not constitute a national problem and there is no longer a clear Federal role in this area.

Current Analytic Activities:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D.C.; August 15, 1974.

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Charles Griffith, 245-3253

For further information about studies of program effectiveness,

Contact: Jim Maxwell, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Grants for Construction of Undergraduate Academic Facilities
(CFDA No. 13.593)

Legislation:

Title VII-A of the Higher Education Act of 1965; (formerly Title I of the HEFA 1963; Public Law 88-204); as amended by Public Law 92-318 as amended by Public Law 94-482 1/; extended by Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1965	$230,000,000	$230,000,000
1966	460,000,000	458,000,000
1967	475,000,000	453,000,000
1968	728,000,000	400,000,000
1969	936,000,000	83,000,000
1970	936,000,000	76,000,000
1971	936,000,000	43,000,000
1972	50,000,000	43,000,000
1973	200,000,000	43,000,000 2/
1974	300,000,000	0
1975	300,000,000	0
1976	300,000,000	0
1977	300,000,000	0
1978	300,000,000	0
1979	300,000,000	0
1980	300,000,000	3/
1981	100,000,000	0
1982	0	0
1983	0	0

1/ Public Law 94-482, Education Amendments of 1976, was passed in September 1976. It authorized Grants for Construction of Undergraduate Academic Facilities until October 1, 1979, and expanded the scope of the program by authorizing grants for reconstruction and renovation projects designed to:

(1) Economize on the use of energy.
(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).
(3) Bring facilities into conformance with health, safety, or environmental protection requirements mandated by Federal, State, or local law.

2/ Funds appropriated in Fiscal Year 1973 were released to the program in May 1974 for obligation during Fiscal Years 1974 and 1975.

3/ Congress appropriated $25,000,000 in Fiscal year 1980, However, the Supplemental Appropriation and Rescission Act of 1980 rescinded $15,000,000 made available for the program. Pub. Law 97-12, enacted June 5, 1981, rescinded the remaining $10,000,000.

Program Goals and Objectives:

Grants for Construction of Undergraduate Academic Facilities is one of four programs (which include also Loans for Construction of Academic Facilities, Annual Interest Grants, and Grants for the Construction of Graduate Facilities) 4/ which were designed to help institutions of higher education meet a national need for academic facilities. The objective of this program is to provide grants to institutions of higher education to finance the construction, rehabilitation, or improvement of undergraduate academic facilities.

Program Operations:

Funds for public community colleges and public technical institutes under this program are allotted to each State by a formula based on the number of high school graduates and per capita income of residents. Funds for other institutions are allotted to each State by a formula based on the number of students enrolled in institutions of higher education and the number of students in grades 9 through 12. Within each State, Federal grants may be awarded for up to 50 percent of the project development cost. Not less than twenty-four percent of funds appropriated under the Title must be reserved for community colleges and technical institutes.

Grants are not given for the construction of facilities for which admission is normally charged, for facilities used for sectarian instruction, for facilities for schools of the health professions as defined in the Higher Education Facilities Act, or for residential, dining, and student union facilities.

Program Scope:

No appropriations for new construction projects have been made for this program since FY 1973. However, for FY 1980, Congress appropriated, through the continuing resolution, $25 million for grants for reconstruction and renovation projects for removal of architectural barriers to the handicapped.

June 3, 1980, was the deadline for making programs accessible to the handicapped in compliance with the regulations implementing Section 504 of the Rehabilitation Act of 1973. A survey conducted by the National Center for Education Statistics in 1979 indicated that the total cost for removal of architectural barriers in compliance with Section 504 at colleges and universities across the country would run approximately $560 million. It was on this basis that the Congress appropriated the $25 million for 1980.

4/ With one expection, funding for Grants for the Construction of Graduate Facilities and new funding of Loans for the Construction of Academic Facilities ceased in 1969 (loans were authorized only to the extent that funds became available from cancellation of previous loan commitments). However, in 1978, at Congressional initiative, two loans totaling $7.2 million were authorized from the unobligated balance in the loan fund to assist Georgetown University and Tufts University in the construction of two model inter-cultural centers. In addition to the two loans, Congress appropriated $5 million in grants for the same projects under the Title VII-B Graduate Facilities Grant Program.

Because this program had been inactive since 1973, and because of complications encountered in preparing regulations, the time required to implement this special program for removal of architectural barriers was greater than originally anticipated. Accordingly, it became apparent that the grants could not be awarded in FY 1980, and the Administration requested Congress to extend the availability of these funds through FY 1981. In the meantime, although steps were being taken to implement this program, the $25 million was included in the President's rescission package as a proposed budget cut for 1980. Although the rescission package was not acted upon, Congress passed the Supplemental Appropriation and Rescission Act of 1980, which rescinded $15,000,000 of the $25,000,000 and deferred $10,000,000 for use in fiscal year 1981. Public Law 97-12 rescinded the remainder.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement. Some 4,000 facilities costing in excess of $10 billion will have been constructed.

The large volume of academic facilities construction supported by this program has met national demand and the program has successfully accomplished its objectives. While certain areas of the country may face temporary shortages of academic space, existing conditions do not constitute a national problem and there is no longer a clear Federal role in this area.

There have not been any comprehensive studies conducted with regard to the overall reconstruction and renovation needs in higher education facilities. However, a special survey was conducted by the National Center for Education Statistics (NCES) in 1979 to assess the costs at colleges and universities of removing architectural barriers to the handicapped in compliance with Section 504 of the Rehabilitation Act of 1973. The survey indicated that institutions were moving ahead to comply with Section 504 without Federal assistance. It also determined that the capital costs required for removal of architectural barriers at most institutions were generally small relative to total college budgets. Over a three-year period ending in June 1980 (deadline for compliance with Section 504), the estimated cost of removing architectural barriers would represent about three percent of total capital outlays, and only 1/3 of one percent of the total revenues of all the colleges and universities during this period.

Current Analytic Activities:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D.C.; August 15, 1974.

The Impact of Section 504 of the Rehabilitation Act of 1973 on American Colleges and Universities, Preliminary Final Report, NCES, May 1979.

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Charles Griffith, 245-3253.

For further information about studies of program effectiveness,

Contact: Jim Maxwell, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Loans for Construction of Academic Facilities (CFDA No. 13.594)

Legislation:

Title VII-C of the Higher Education Act of 1965; as amended by Public Law 92-318 (formerly Title III of the HEFA; Public Law 88-204); as amended by PL. 94-482 1/, PL. 96-49 and 96-374

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization 2/	Appropriation 2/
1964	$120,000,000	$ 0
1965	120,000,000	169,250,000
1966	120,000,000	110,000,000
1967	200,000,000	200,000,000
1968	400,000,000	925,000
1969	400,000,000	103,107,000
1970	400,000,000	2,918,000
1971	400,000,000	2,952,000
1972	50,000,000	2,961,000
1973	100,000,000	2,921,000
1974	150,000,000	2,948,000
1975	200,000,000	2,701,000
1976	200,000,000	2,192,000
Transition Quarter		548,000
1977	200,000,000	2,119,000
1978	200,000,000	1,847,000
1979	200,000,000	2,204,000
1980	200,000,000	2,189,000
1981	80,000,000	1,656,000
1982	80,000,000	11,096,000 3/
1983	80,000,000	20,143,000

1/ Public Law 94-482, Education Amendments of 1976, was passed in September 1976. It authorizes "Loans for Construction of Academic Facilities" and expands the scope of the program by authorizing loans for reconstruction and renovation projects designed to:

(1) Economize on the use of energy.
(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).
(3) Bring facilities into conformance with health, safety, or environmental protection requirements mandated by Federal, State, or local law.

2/ Excludes a permanent indefinite appropriation of under "Payment of Participation Sales Insufficiencies" in the Independent Offices Appropriation Act, 1967.

3/ Includes supplemental appropriation of $9,746,000.

Program Goals and Objectives:

Loans for Construction of Academic Facilities is one of four programs designed to help institutions of higher education meet a national need for academic facilities. The three related programs are: Annual Interest Grants, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities. [3] The objective of this program has been to help reduce the financial burden on institutions of higher education by making available to them, loans with low rates of interest.

Program Operations:

Loans have been awarded pursuant to the following stipulations: (1) that not less than 20 percent of the development cost of the facility be financed from non-Federal sources (this requirement may be waived for schools qualified as developing institutions under HEA Title III), (2) that applicants have been unable to secure the amount of such loan from other sources upon terms and conditions equally as favorable as the terms and conditions applicable to loans under this program, (3) that construction will be undertaken in an economical manner and that it not be of elaborate or extravagant design or materials, and (4) that, in the case of a project to construct an infirmary or other facility designed to provide primarily for outpatient care of students and institutional personnel, no financial assistance be provided for such projects under Title IV of the Housing Act of 1950.

Loans have been made available to institutions of higher education, to cooperative graduate center boards, and to higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) for the purpose of constructing only academic facilities. Although the law allows for a repayment period of 50 years, loans have normally been made available for 30 years. Under certain circumstances, exceptions have been granted which permitted a maximum loan period of 40 years. Interest rates on these loans cannot exceed 4 percent per annum.

Program Scope:

As it was anticipated that this program's objectives could be accomplished under the Annual Interest Grants Program and with the use of private capital, no monies have been appropriated for new loans under this program since Fiscal Year 1969. Annual appropriations have been required to fund operating deficits. These deficits occur because the Secretary is required to make interest payments on participation certificates and on Treasury borrowing that exceed repayments from low interest loans to institutions.

---

[3] Funding of Grants for Construction of Graduate Facilities ceased in 1969. However, in FY 1978 $5 million was appropriated for grants for two model intercultural centers at Georgetown and Tufts Universities. Funding for Grants for Construction of Undergraduate Facilities ceased in 1973. No new awards for Annual Interest Grants have been made since FY 1973.

Since the Higher Education Facilities Loans and Insurance program began in 1965, Congress has appropriated more than $580 million to support loans to institutions. In addition, Congress authorized the sale of participation certificates to the public in 1967 and 1968, which provided another $200 million to support loans. In the last 17 years, approximately $640 million has supported loans to over 660 institutions.

Since Fiscal Year 1970, this program has been authorized to make new loans to the extent that funds became available through the termination (primarily through withdrawal) of prior-year loan commitments. During Fiscal Year 1975, the remaining funds released through cancellation of prior loans were approved for new loan commitments. However, in 1978, at congressional initiative, two loans totaling $7.2 million were authorized from the unobligated balance in the loan fund to assist Georgetown University and Tufts University in the construction of two model intercultural centers. In addition to the two loans, Congress appropriated $5 million in grants for the same projects under the Title VII-B Graduate Facilities Grant Program. In 1981 Congress specifically authorized two additional loans totaling $25 million, from unobligated balances in the loan fund, to assist Boston College in the construction of a new library and to provide a loan increase to Georgetown University in connection with the model intercultural center project initiated in 1978. With the exception of these special projects, this program has been inactive in terms of new loan approvals since 1975.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 50 States and the territories. During the period Fiscal Year 1965 through Fiscal Year 1976, almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support requiring an estimated annual commitment of Federal funds approximating $25 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion have been constructed.

The large volume of academic facilities construction supported by this program has met national demand and the program has successfully accomplished its objectives. While certain areas of the country may face temporary shortages of academic space, existing conditions do not constitute a national problem and there is no longer a clear Federal role in this area.

There have not been any comprehensive studies conducted with regard to the overall reconstruction and renovation needs in higher education facilities. However, a special survey was conducted by the National Center for Education Statistics (NCES) in 1979 to assess the costs at colleges and universities of removing architectural barriers to the handicapped in compliance with Section 504 of the Rehabilitation Act of 1973. The surveys indicated that institutions were moving ahead to comply with Section 504 without Federal assistance. It was also determined that the capital costs required for removal of architectural barriers at most institutions were small relative to total college budgets. Over a three-year period ending in June 1980 (deadline for compliance with Section 504), the estimated cost of removing architectual barriers represented about three percent of total capital outlays, and only 1/3 of one percent of the total revenues of all the colleges and universities during this period.

Current Analytic Activities:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D.C.: August 15, 1974.

The Impact of Section 504 of the Rehabilitation Act of 1973 on American Colleges and Universities, Preliminary Final Report, NCES, May 1979.

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Charles Griffith, 245-3253

For further information about studies of program effectiveness,

Contact: Jim Maxwell, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Postsecondary Educational Institutions and Programs:
Eligibility Determination and Agency Evaluation

Legislation

Accreditation: Veteran's Readjustment Assistance Act of 1952 (Public Law 82-550), subsequent legislation. Eligibility: Higher Education Act of 1965, as amended including Public Law 96-374.

Expiration Date

N/A

Funding History: N/A

Program Goals and Objectives:

The Eligibility and Agency Evaluation Staff (EAES) and the U.S. Secretary of Education's National Advisory Committee on Accreditation and Institutional Eligibility (NACAIE) function to orchestrate a system of determining eligibility for postsecondary educational institutions and programs to apply for participation in Federal student and institutional assistance programs.

Program Operations:

Eligibility is granted to postsecondary institutions and programs which meet certain statutory and other prerequisites, including: (a) State licensing or chartering, (b) accreditation by private nongovernmental accrediting bodies or State approval agencies recognized by the U.S. Secretary of Education, and (c) compliance with appropriate Federal regulations. The Secretary of Education publishes criteria with which accrediting agencies and State approval agencies must comply in order to be listed as recognized by the Secretary. Accreditation of an educational institution or program by one of these agencies is an essential requirement for eligibility to participate in many Federal funding programs. At least every four years, an agency's continued compliance with the criteria is reviewed by NACAIE/EAES and a recommendation is made to the Secretary regarding the agency's continuation of recognition.

EAES is comprised of 24 permanent full-time positions. It is organized into two sections and a director's office. One of the sections is subdivided into two units.

Program Scope:

As of March 10, 1982, EAES has

(a) certified 10,201 institutions for Federal eligibility through the "triad" eligibility process participated in by accrediting bodies, State chartering and licensing agencies, and the Federal government:

(b) provided the staff for the NACAIE, which has resulted in the recognition of 75 accrediting bodies, 10 State agencies for the approval of public postsecondary education, and 8 State agencies for the approval of nurse education.

Program Effectiveness and Progress:

Over the last decade several studies and evaluations have been conducted in the area of eligibility determination. These are cited in the section on sources of evaluation data. The major findings of the more recent studies (since 1976) are summarized below.

Authorization by State agencies or by the Federal government, if Federally authorized, is a prerequisite for institutions seeking to participate in Federal programs. With the States having the major burden of consumer protection in postsecondary education, a study (Jung et al., 1976) was conducted to assess the degree to which postsecondary state oversight agencies provide student consumer protection by preventing or correcting abusive and potentially abusive institutional policies, practices, and conditions. Additionally, the study included (1) an in-depth profile of strengths and weaknesses of the State laws and enforcement resources, and (2) specific suggestions for strategies which could be used by the USOE to help State agencies enact stronger laws and augment their enforcement resources.

The American Institutes for Research completed "A Study of State Oversight in Postsecondary Education" in December 1977. They found that State authorizing/oversight requirements are relatively much more extensive for private non-dgreee-granting institutions, less extensive for private degree-granting institutions, and almost nonexistent for public institutions. Their report concluded that:

- o stronger laws and regulations are needed, especially to (1) eliminate provisions that now exclude accredited institutions from State agency oversight, (2) provide stronger bonding or tuition-indentification requirements, (3) provide and publicize statewide complaint-handling systems, and (4) improve the coordination and communications among the agencies that have various oversight responsibilities within each State;

- o better communications and coordination are need among licensing agencies in all States, especially in the degree-granting sector, to deal with problems created by institutions that operate across State lines.

Significant barriers to improved consumer practices were found due to:

- unwillingness of legislatures to make adequate appropriations for school oversight due to a lack of understanding of the nature of the problem and general reluctance to approve funds for any form of State regulation;
- strong and effective opposition by schools and accreditation bodies to increased levels of State agency oversight;
- lack of agreement and cooperation among State education agencies about which agency should perform what functions; and
- reluctance of law enforcement agencies and attorneys general to take strong action against educational institutions.

In July 1978, that report was the basic working document for an invitational conference sponsored by the (then) U.S. Office of Education and the Education Commission of the States. Conference participants were representatives from State authorizing and oversight agencies, legislators, governors' education aides, attorneys general, chief State school officers, congressional aides, and Federal agency staff.

In support of the State role the Institutional Report Form (IRF), originally developed as part of the consumer protection study (Dayton, Jung, 1980), was revised and field tested for use by State postsecondary education licensing and oversight agencies. The field test was to provide State postsecondary licensing and oversight agencies with a tool to monitor the potential for student consumer abuse in the institutions over which they exercise authority. The field test which was completed in 1980 found that:

- Response to the Institutional Report Form (IRF), was generally positive. Fifteen of eighteeen agencies completed their efforts on time. Sixty-eight percent of State agency and institution respondents had clearly positive reactions to the IRF (only three percent had clearly negative ones). Fifty percent of the respondents felt the IRF should be used more widely (twenty-one percent opposed this).
- The IRF was most useful at new schools, non-accredited schools, and others that do not already undergo a regular review. The schools preferred it as a self-check educational tool for institutional officials, rather than as a monitoring device to be used in an authoritarian manner by the State agency.
- The study recommends that wider use be made of the IRF, as a means of improving student consumer protection, by postsecondary schools, particularly as a self-check educational tool for school officials.

> Also, since State licensing, as the first step to Federal funds eligibility, represents the primary defense against student consumer abuse, some Federal assistance to strengthen State licensing and oversight should be considered. This Federal assistance might include a Federally sponsored clearinghouse for sharing information among State agencies; and to provide further technical assistance in the use of the IRF, especially for States with new oversight agencies or staff. ED should assign one agency of the department the responsibility for initiating and maintaining a continuing liaison with State licensing and oversight agencies and their national organizations. This liaison would be to enhance Federal and State cooperation in protecting student consumers.

Another study, also completed in 1980 by the Educational Testing Service, evaluated the ED Criteria and Procedures for the Recognition of Accrediting and State Approval Agencies. This study was designed to assess how well ED's procedures for recognizing accrediting agencies distinguish agencies that can relied on for accurate evaluations of educational quality from those that cannot. During the ten-year period from 1969 to 1978, ED conducted approximately 240 evaluations of the organizational structure and procedures of more than 100 accrediting and state approval agencies concerned with postsecondary education. Nineteen percent of those evaluations resulted in denial of recognition, or instruction to show cause why recognition should not be revoked. The remaining 81 percent led to recognition for periods of one to four years, depending on the number and the seriousness of the agencie's deficiencies. The requirements for recognition are embodied in 44 published criteria. The study evaluated the criteria as well as USDE's procedures.

The major findings affecting the reliability and validity of the ED criteria and procedures are:

- o The ED procedures reliably differentiate ineffective agencies from effective ones and remain stable from year to year in the interpretation and application of the criteria.

- o The recognition decisions over the ten-year period from 1969 to 1978 have consistently utilized virtually all the criteria; decisions have not rested dominantly on a limited number. The few criteria that have not discriminated between recognized agencies and those denied recognition have been criteria that are universally met, such as the requirement that the agency's standards be published.

- o Agencies denied recognition differ among themselves more widely than do the agencies recognized for three or four years. The major deficiencies of the agencies denied recognition tend to involve weak evaluative procedures, questions about the impartiality of their decisions, and nonrepresentative governing boards. Secondary deficiencies are related to small size and limited staff, budget, and experience.

- To a large extent, the criteria that most sharply differentiate the recognized agencies from those denied recognition are also most important to assessing an agency's effectiveness in evaluating educational quality. The major exception is the criterion requiring public representation on an agency's governing board, which had a significant role in the decisions but appears to be relatively unimportant.

- A group of slightly more than 100 persons knowledgeable about accrediting from a variety of perspectives, when presented decriptions of agencies that had been evaluated and either recognized or denied recognition by ED, agreed substantially with the ED decisions. The measure of agreement between the actual decisions and the judges' decisions was .68, where 1.00 indicates agreement. Agreement was close to perfect in the case of the agencies denied recognition. The major source of disagreement involved agencies recognized for a limited period, where the judges tended to award recognition for a slightly longer period than was awarded in actual decisions.

Current Analytic Activities

A short-term assessment of the ED eligibility and compliance monitoring systems is scheduled to begin in the summer of 1982. The objectives of the study are:

1. To provide an accurate descripton of the eligibility and compliance monitoring systems: Their intended goals; their intended and factual functions, and their products.

2. To provide an accurate estimate of the singular and joint reporting burden of the two systems on participating institutions, based on readily available data.

3. To provide initial estimates of the outcomes (the effectiveness and efficiency) of the two systems, based on readily available indicators and relative to their stated goals.

4. To provide immediate recommendations for feasible improvements in the systems.

The study will take about four months to complete.

Sources of Evaluation Data:

Program files, Office of Postsecndary Education.

Orlans, Harold, et al., Private Accreditation and Public Eligibility, Volumes I and II, The Brookings Institution and the National Academy of Public Administration Foundation, Washington, D.C. 1974.

Jung, Steven M., et al., Improving the Consumer Protection Function in Postsecondary Education, American Institutes for Research, Palo Alto, California, December 1976.

Jung, Steven M., et al., A Study of State Oversight in Postsecondary Education, American Institutes for Research, Palo Alto, California December 1977.

Comptroller General, What Assurance Does Office of Education's Eligibility Process Provide? HRD-78-120, U.S. General Accounting Office, Washington, D.C., January 17, 1979.

Warren, Jonathan R., Evaluation of Criteria for Recognition of Accrediting and State Approval Agencies, Educational Testing Service, Berkeley, California, November 1980.

Dayton, Charles W., and Steven M. Jung, State Regulatory Agency Field Test of the AIR Institutional Report Form, American Institutes for Research, Palo Alto, California, November 1980.

For further information about program operations,

Contact: Larry Friedrich, 245-9873.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8281.

OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Pre-College Teacher Development in Science (CFDA No. 84.119)

Legislation:

P.L. 96-374, Section 1303 added Section 406A to the General Education Provisions Act (20 U.S.C. 1221e-1b).

Expiration Date:

September 30, 1982

Funding History:

Year	Authorization	Appropriation
1980	$ 2,500,000	$ 2,500,000
1981	2,500,000	1,875,000 [1]
1982	1,875,000	[2]

Program Goals and Objectives:

The major goal of the Pre-College Science Teacher Development Science program is to promote high quality science, mathematics, and social studies instruction in the Nation's elementary schools. This is done through:

- Improving teachers' knowledge of the subject matter of science and mathematics, and accompanying appropriate instructional strategies;
- Developing and maintaining cooperation and communication between scientists and mathematicians at colleges and universities and teachers in elementary schools; and
- Aiding teachers in the identification and use of resources appropriate to their level of instruction, which will aid in their teaching of scientific concepts.

It is the goal of this program to fill these needs, by awarding grants to colleges, universities, and nonprofit institutions having the scientific research staff and facilities necessary to mount a quality science education program. The projects funded provided continuing education opportunities for kindergarten and elementary school teachers extending their basic subject training.

---

[1] The appropriation was $1,875.000 in FY 1981, due to rescission of 25% (or $625,000) of the Program authorization of $2,500,000.

[2] Program consolidated.

Program Operation:

The program solicits applications for grants from colleges and universities that offer at least a baccalaureate degree in science as well as from nonacademic, nonprofit institutions having both the scientific research staff and facilities necessary to mount a quality science education program. Such institutions could include museums, scientific field stations, and nonprofit scientific research laboratories.

Most applications will fall into one of the following categories:

1. Academic Year Seminars -- Part-time

   Part-time study offered at a central location for teachers within commuting distance, with sessions held regularly during the academic year. Such projects may be preceded by a brief (up to one week) full-time session prior to the beginning of school, or be followed by a brief (up to one week) "wrap-up" following the close of the school year.

2. Summer Seminars -- Part-time

   Study offered at a central location for teachers within commuting distance, with sessions held during the summer. Such projects may include follow-up sessions during the academic year similar to these described under Item one above.

3. Summer Workshops -- Full-time

   Projects offered during the summer, generally for one to four weeks. These projects usually will be regional and intended for more advanced training in specific disciplines. Limited follow-up activity may take place during the academic year.

Projects are to provide instruction on general concepts of science and mathematics, or more advanced training in specific disciplines, concsistent with the needs of an identified group of teachers. Courses are developed cooperatively between local school systems and colleges, to meet the needs of the teachers to be served. The instruction may also illustrate appropriate materials and instructional teaching strategies for classroom use, as well as identify local resources that are applicable to classroom instruction. Some teachers may require subject matter training in the traditional disciplines and trainng on how such disciplinary materials can be applied in their classroom settings. Others may benefit more from interdisciplinary or multidisciplinary science training.

Program Scope:

Sixty-eight projects have been funded in FY 1981, and approximately 3,200 teachers will participate in the program. A multiplier effect is achieved by encouraging the teachers who participate in this training to train other elementary teachers in their schools. In this way approximately 35,000 teachers will receive instruction. Fifteen of these projects were jointly funded with the National Science Foundation. These jointly funded projects involve study opportunities for both elementary and secondary school teachers.

Program Effectiveness and Progress:

Since this is a new Department of Education program, offered for the first time in FY 1981, independent of the National Science Foundation, no formal evaluation has been conducted.

Ongoing and Planned Evaluation Studies:

A preliminary evaluation of this program is proposed for FY 1982.

Sources of Data:

Analyses of grantee reports.

The Status of Pre-College Science, Mathematics, and Social Studies Practices in U.S. Schools, July, 1978; GPO Stock No. 038-000-00383-6; $3.50.

What Are The Needs In Science, Mathematics, and Social Science Education? Views From the Field 1980, NSF SE80-9, available from the National Science Foundation.

For further information about program operation,

Contact: Mary G. Lewis
(202) 653-5983

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Territorial Teacher Training Assistance Program (CFDA No. 84.124)

Legislation:	Expiration Date:
The Education Amendments of 1978, P.L. 95-561, Sec. 1525	September 30, 1984

Funding History:	Year	Authorization	Appropriation
	1980	$ 2,000,000	$ 2,000,000
	1981	2,000,000	1,800,000
	1982	Indefinite	

Program Goals and Objectives:

The Territorial Teacher Training Assistance Program provides Federal funds for the upgrading of existing teacher's capabilities in schools in Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the Virgin Islands. The intention of the program is to provide a multi-year one-time investment to help territorial institutions provide teacher training programs to strengthen their efforts and to build the capacity to continue to deliver improved instruction after the Federal funding is discontinued.

Program Operations:

The Program is a combined grant-entitlement activity. Only the five territories are eligible recipients, and each territory may receive no less than five percent of the funds appropriated. Awards are for four years, with each years continuation subject to performance and availability of funds. The territory SEA must submit an application, either alone or in conjunction with an IHE. If a joint application is submitted, each SEA remains fully responsible for the administration of the project. Activities must be directed at teachers who work with students in grades k - 12 in public and non-profit private schools. All activities must be directly related to teaching and may include, but are not limited to, inservice teacher training in basic skills development or specific subject areas, curriculum development, use of instructional materials or equipment, classroom management, or training for teachers to achieve full certification under the appropriate territorial requirements.

Program Scope:

In FY 80, the first year of program operations, all five eligible territories applied for and received awards. The awards ranged in size from $1,000,000 to $100,000. It is expected that all five grantees will request and receive continuation awards, although at slightly reduced funding levels.

Program Effectiveness and Progress:

Since program continuation applications and progress reports have not yet been submitted, no information on effectiveness is available.

Ongoing and Planned Evaluation Studies:

Program continuation applications and progress reports.

For further information about program operation,

Contact: Andrew Lebby
(202) 653-5839

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Public Library Services
(CFDA No. 84.034)

Legislation:

Library Services Act, P.L. 84-597 as amended by the Library Services and Construction Act, Title I, P.L. 91-600, P.L. 93-133, P.L. 93-380, P.L. 95-123, and P.L. 97-35

Expiration Date:

September 30, 1984

Funding History:

Beginning in 1972 State institutionalized Services (Title IV-A) and Services to the Physically Handicapped (Title IV-B) were combined under Title I. The 1977 amendment required a percentage of any excess of funds over $60 million to be reserved for stregnthening major urban resource libraries in FY 1979.

Year	Authorization	Appropriation
1961	$ 7,500,000	$ 7,500,000
1962	7,500,000	7,500,000
1963	7,500,000	7,500,000
1964	25,000,000	7,500,000
1965	25,000,000	25,000,000
1966	25,000,000	25,000,000
1967	35,000,000	35,000,000
1968	45,000,000	35,000,000
1969	55,000,000	35,000,000
1970	65,000,000	29,750,000
1971	75,000,000	35,000,000
1972	112,000,000	46,568,500
1973	117,600,000	62,000,000[1]
1974	123,500,000	44,155,500
1975	129,675,000	49,155,000
1976	137,150,000	49,155,000
Transition Quarter		12,189,000
1977	137,150,000	56,900,000
1978	110,000,000	56,900,000
1979	140,000,000	62,500,000
1980	150,000,000	62,500,000
1981	150,000,000	62,500,000
1982	65,000,000	60,000,000
1983	65,000,000	60,000,000 (under Cont. Resolution)

Program Goals and Objectives:

The legislative purpose of the program is to provide support to States: to assist them in providing library services to areas without such services or areas with inadequate services, including services to such groups as the disadvantaged, bilingual, the physically handicapped, those in State-supported institutions and users of major urban resource libraries; to strengthen metropolitan public libraries which serve as national and regional resource centers; and to plan programs and projects to extend and improve services. Funds may also be used to strengthen the capacity of the State library administrative agencies to serve people and for administrative costs for all Library Services and Construction Act programs.

---

[1] $32,000,000 of the 1973 appropriation was impounded and not released until 1974.

Program Operation:

LSCA, Title I, allots funds to the States by grants on a formula-matching basis. Each state, D.C., and Puerto Rico, receives a base of $200,000 and each outlying Territory receives a base of $40,000, with the balance distributed on the basis of total resident population. The Federal share ranges from 33 percent to 66 percent except for the Trust Territories, which are 100 percent Federally funded. States must match in proportion to their per capita income and also maintain the same level of expenditures of the second preceding year. They must also maintain the same level of fiscal effort of the second preceding year for handicapped and institutionalized library services. Federal expenditures for administration of the program must be matched with an equal amount of nonfederal funds. States with cities of 100,000 population or more must reserve funds for major urban resource libraries according to a statutory formula when the appropriation exceeds $60 million and may not reduce the amount paid to these libraries below the amount they received in the preceding year. In order to participate, each officially designated State library administrative agency must submit a basic State plan (State/Federal agreement), an annual update of the long-range program for library development based on the State's assessed needs, an annual program and an evaluation report. These documents outline a State's goals, objectives, priorities, and activities, along with project evaluations for specified periods of time. Furthermore, they provide to the Secretary of Education assurances that the above-mentioned specific requirements will be met annually as stated in the State/Federal agreement signed by both parties.

Program Scope:

1.	Federal dollars appropriated (1957-82)		$ 905,854,500
2.	Federal dollars spent in FY 80: (includes carryover)		64,176,955
a.	Funds spent on providing library services to areas without services or with inadequate services, on administering LSCA, and on strengthening State library agencies	69.4%	
b.	Funds spent on the disadvantaged, limited English-speaking, State institutionalized, physically handicapped, major urban libraries, and the aging.	30.6%	
3.	Disadvantaged persons receiving services from LSCA funds		7,000,000

4.	Number of Limited English-speaking persons served by LSCA	2,200,000
5.	Number of handicapped persons served by LSCA	1,400,000
6.	Number of State institutionalized persons served by LSCA funds	8,000,000
7.	Number of senior citizens served	2,700,000
8.	Number of metropolitan libraries strengthened as resource centers	110
9.	Number of cities with populations of 100,000 or more which may qualify for portion of funds in excess of annual appropriation of $60 million.	170

Program Effectiveness and Progress:

Federal assistance has contributed to the expansion and improvement of library services throughout the country. Today, about 96 percent of the population has access to some form of public library services. Current reports indicated that over 30% of the LSCA expenditures have gone to projects with designated disadvantaged priorities.

- o Public library services that link individuals with available, necessary information for self-help, coping, employment and learning skills are expanding. Information and referral (I&R) services are growing and it is estimated that 60% of all public libraries are providing some form of I&R.

- o Services to handicapped persons and other special identified groups are expanding. With LSCA support, libraries are utilizing new delivery strategies to reach the visually impaired, deaf, and other physically disabled persons in the population. New media being used include reading machines, teletypewriters, and radio receivers. Libraries are removing their access barriers and delivering programs outside the library to institutions, homes, and into rural areas by mail, in an effort to reach more handicapped and isolated persons.

- o Increased literacy programs in libraries are attracting adults and young adults who are learning reading skills in the non-classroom atomosphere of the libraries. Often tutors and teachers are volunteers.

- o Through responsive library programs, independent learners are pursuing their special interests, upgrading their professional knowledge and job skills.

The first study of the impact of Title I services, covering the period from 1964 to 1968, was made by the System Development Corporation (SDC), Santa Monica. In reviewing the LSCA activities in 11 States it found that most projects felt handicapped by: lack of manpower; lack of coordination among public libraries and other education agencies; need for research in determining whether disadvantaged projects were reaching their goals; lack of understanding on the part of the public of library's potential and actual services; lack of ability of libraries to react quickly to public demands for more service; and lack of suitable measurements of library performance.

The Behavior Science Corporation, Washington, D.C., conducted a study to evaluate public library service to disadvantaged people in selected cities. These projects were not limited, however, to Title I projects. This pilot study selected library programs serving the disadvantaged in 15 cities and utilized user and nonuser interviews for evaluation. The study recommended that libraries find better ways to coordinate with schools when dealing with disadvantaged children. The successful programs were characterized by some or all of the following features: active participation by the target group; emphasis on audiovisual rather than print materials; and, provision of significant service in the community.

Another major evaluation study was conducted by SDC to determine how the Library Service and Construction Act, Title I, was meeting the public library needs of special clientele groups; e.g., disadvantaged, ethnic minorities, handicapped, and institutionalized persons. This evaluation surveyed all State Library agencies, all known ongoing projects directed toward these groups, and discontinued projects. This study provided an inventory of projects, a needs assessment, and recommendations for program changes. Over 1,600 projects were identified and queried. It was found that many projects classified as discontinued (these projects had been initiated with LSCA fuds) were operational with funds now received from State or local agencies. A methodology specifying criteria to judge program effectiveness was developed, and was tested and validated with a sample of projects.

The report concluded:

> It is evident from the data gathered in this project that LSCA projects directed toward special clientele have been successful, to some extent. More projects are successful than unsuccessful, and fairly significant numbers of special clientele groups have been reached. It is also evident that some projects are far from successful. Many important needs are not being met, or barely being met, even by projects judged successful. . .
>
> In many States it was evident that were Federal funds not available, there would be no projects whatsoever for special clientele. Indeed, in one State plan that was examined the statement was made that, while there were special clientele in the State, no projects need be directed towards them because the State intended to give service to all of its citizens on an equal basis: that naive attitude represents - all to frequently - the lack of knowledge and concern

> that exists at many levels of State and local government. Special clientele frequently need to be educated to become users, and persuaded that the library has something of value for them. LSCA funds have been a critical factor in projects for special clientele, and they have provided the bulk of the funds being used for innovative projects.

A subsequent study of "the Public Library and Federal Policy," performed by SDC, assessed the current national public library situation utilizing existing data and included recommendations for further data collection efforts in areas of current information deficiencies. The final report stated:

> In this study we examined the past and present status of the public library and likely directions for the future. Based upon our examination of the public library as an information-providing institution, and our certainty that free access to all kinds of information is a requirement of a democratic society and a necessity for individual well being, [It was found that]
>
> The Federal government has played a role in recent years of helping the public library to organize into systems and to provide services to segments of the population who were previously unserved. While there are indications that Federal programs suffered from insufficient funding, impetus toward system organization and the provision of services to special clientele were provided by Federal intervention.

A comprehensive study of LSCA I was done by Applied Management Sciences (AMS). The purpose of the study was to evaluate the impacts and effectiveness of the only Federal program designed to assist State efforts to develop and improve public libraries.

Since there are a variety of purposes for this program, it is not surprising that there were a diversity of findings, some of which initially may appear contradictory. The study found that significant proportions of LSCA Title I funds are expended on the general public which may indirectly benefit target populations, including such indirect services as interlibrary loans or centralized purchasing. Only 32.9 percent of all public libraries have received at least one direct LSCA Title I grant since 1965, but only 6% of all public libraries failed to receive at least one direct benefit from the program.

The study confirmed the findings of an earlier study that LSCA I is contributing much to the growth of networking and interlibrary cooperation. Because of this generalized approach, the efforts to upgrade service to target groups has generally been less than expected, with the exception of State institutionalized and handicapped groups. When LSCA was originally legislated in 1956 extending coverage to the unserved was a major concern. It is estimated that 96% of the population now have access to library service, thus achieving one of the program's original goals. The adequacy of this service could not be measured due to the lack of standards. Complicating efforts to upgrade existing services is the problem of rising costs. Increasingly the ability to pay is being outstripped by cost, causing a shift away from the goal of improvement towards one of maintaining existing levels of services in the face of diminishing revenues.

An analysis of the findings should provide valuable inputs to refining the role of Federal support of public libraries in consideration of such factors as the economy, the existing state and cost of library services, and current administration policies.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1. Overview of LSCA Title I, by System Development Corporation, published by Bowker, 1968.

2. A Study of Public Library Service to the Disadvantaged in Selected Cities, Behavior Science Corporation, 1970.

3. Study of Exemplary Public Library Reading and Reading Related Programs for Children, Youth and Adults, by Barss, Reitzel and Associates, Inc., 1972.

4. Basic Issues in the Government Financing of Public Library Services, Government Studies and Systems, May 1973.

5. Evaluation of LSCA Services to Special Target Groups, by System Development Corporation, July 1973.

6. The Public Library and Federal Policy, by System Development Corporation, July 1973, published by Greenwood Press, 1974.

7. An Evaluation of Title I of the Library Services and Construction Act, Applied Management Sciences, 1981.

8. Various Library Demonstration Projects: These projects are designed to survey and analyze the public library and information services to the American Indian, the aging, the handicapped, institutionalized, and the information needs of the rural and urban poor.

For further iformation about program operations,

Contact: Robert Klassen
(202) 472-5150

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8844

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Interlibrary Cooperation
(CFDA No. 84.035)

Legislation:

Library Services Act, P.L. 84-597 as amended by Library Services and Construction Act, Title III, P.L. 89-511 as amended and extended by P.L. 91-600, P.L. 95-123, and P.L. 97-35.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1967	$ 5,000,000	$ 375,000
1968	7,500,000	2,256,000
1969	10,000,000	2,281,000
1970	12,500,000	2,281,000
1971	15,000,000	2,640,500
1972	15,000,000	2,640,000
1973	15,750,000	7,500,000
1974	16,500,000	2,593,500
1975	17,300,000	2,594,000
1976	18,200,000	2,594,000
Transition Quarter		648,000
1977	18,200,000	3,337,000
1978	15,000,000	3,337,000
1979	20,000,000	5,000,000
1980	20,000,000	5,000,000
1981	20,000,000	12,000,000
1982	15,000,000	11,520,000
1983	15,000,000	11,520,000 (under cont. resolution)

Program Goals and Objectives:

The legislative purpose of the program is to establish and maintain local, regional, State or interstate cooperative networks of libraries and for the coordination of informational services of schools, public, academic, and special libraries and information centers, permitting the user of any one type of library to draw on all libraries and information centers. Participation of two types of libraries in the cooperative activity is a program requirement.

Program Operation:

The Library Service and Construction Act (LSCA), Title III, allocates funds to the States on a formula basis. Each State receives a minimum sum of $10,000, and the remainder is allocated by population. The State library agency must submit its Annual Program Plan before it can receive its allocation. Title III does not require State or local matching funds, although many projects do use State and local funds along with LSCA funds.

Program Scope:

Based on the States' programs for FY 80, the following areas of expenditures were made using the States' definition of interlibrary cooperation projects. These are not discrete categories.

Type of Activity	Number of States Reporting
Interlibrary loan and reference networks	36
Use of computers and automation	28
Computerized union catalogs and serials lists	24
Participation in multistate organizations	20
Automated circulation systems	15
Continuing education for interlibrary cooperation	14
Within State multitype regional system	11
Continuing planning for interlibrary cooperation	10
Access to database services	9
Preparation of special bibliographies, directories, etc.	6
Delivery systems	5
Processing centers	3
Other	13

With funding increased to $12,000,000 in FY 81, our estimates for the program are as follows:

1.	Number of library resource sharing projects	275
2.	Number of libraries of all types involved in cooperative projects (Universe of libraries: 103,000)	31,000
3.	Estimated percentage of funds used for library networks to provide reference and bibliographic services through computerized data banks or telecommunication hookups.	50%
4.	Estimated percentage of funds used for other resource sharing projects among libraries	40%
5.	Estimated percentage of funds used for training, planning, and proposed implementation	10%

Program Effectiveness and Progress:

- Participation by all types of libraries in telecommunications and information processing systems has increased.

- Access to computer-based information services through regional, State, and multi-State cooperative networks has been made available to more people, including those in sparsely populated rural areas.

- Planning within States, as well as among States, for coordination of library and information services has increased.

- Bibliographic data banks have been expanded to include the holdings of many libraries of different types within regions, statewide, and multi-State areas.

A study of library cooperatives, networks, and demonstration projects was completed in April 1978, by Applied management Sciences, Silver Spring, Maryland. It states, "LSCA III has impacted the development and expansion of library cooperation in a number of ways. LSCA III is a major driving force behind the development of multi-type library cooperation and networking, primarily at the State level. Along with LSCA I, use of LSCA III has resulted in greater centralization of planning and administration of library services at the State and regional levels. LSCA III was credited as a major influence on State legislatures to modify or pass into law legislation favoring cooperation and networking. Activities and services to increase access to library resources and to provide librarians with needed continuing education were listed as the major outcomes of the cooperative and networking projects."

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1. A Study of Library Cooperatives, Networks, and Demonstration Projects, by R. Patrick, et. al. K. G. Saur, New York, 1980, (2 volumes).

2. Program operational data

For further information about program operations,

Contact: Robert Klassen
(202) 472-5150

For further informatin about program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8844

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Library Resources
(CFDA No. 94.005)

Legislation:

Title II-A of the Higher Education Act of 1965, as amended by Section 201 of the Education Amendments of 1980 (P.L. 96-374).

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization		Appropriation
1966	$ 50,000,000		$ 10,000,000
1967	50,000,000		25,000,000
1968	50,000,000		24,522,000
1969	25,000,000		25,000,000
1970	75,000,000		9,816,000
1971	90,000,000		9,900,000
1972	18,000,000		11,000,000
1973	75,000,000	(II-A&B)	12,500,000
1974	85,000,000	(II-A&B)	9,975,000
1975	100,000,000	(II-A&B)	9,975,000
1976	100,000,000	(II-A&B)	9,975,000
1977	110,000,000	(II-A&B)	9,975,000
1978	115,000,000	(II-A&B)	9,975,000
1979	120,000,000	(II-A&B)	9,975,000
1980	120,000,000	(II-A&B)	4,988,000
1981	10,000,000	(II-A only)	2,988,000
1982	5,000,000		1,920,000
1983	5,000,000		pending

Program Goals and Objectives:

The Education Amendments of 1980 provide for Resource Development grants to eligible institutions to assist and encourage them in the acquisition of library resources (including law library resources), such as books, periodicals, documents, magnetic tapes, phonograph records, audiovisual materials, and other related materials (including necessary binding). As a result of this legislation funds may also be used for the establishment or maintenance of networks for resource sharing beginning FY 81. Eligible institutions are defined as institutions of higher education and other public and private nonprofit library institutions whose primary function is providing library services to institutions of higher education on a formal cooperative basis.

Program Operations:

A Resource Development Grant may not exceed $10,000. Awards are made to applicants that meet the institutional eligibility standards and the maintenance of effort requirement. All applicants whose eligibility has not been determined are evaluated by the Division of Eligibility and Agency Evaluation, College Eligibility Section. Rulings are based on the definitions of eligible applicants in the regulations. The maintenance of effort requirement states that the applicant must, in the fiscal year of application, expend for library materials, an amount equal to or in excess of the average expenditures of the two previous fiscal years. Waivers are approved only in the case of very unusual circumstances.

Notices to apply for Title II-A Resource Development Grants are published annually in the FEDERAL REGISTER. The applications are evaluated on the basis of timeliness, completeness, eligibility, adherence to the maintenance of effort requirement, and waiver requests. Upon review and approval the applicants are placed on the funding list. Those applicants who submit late applications, are ruled ineligible, or do not provide an acceptable waiver request are notified of their failure to meet the published criteria. All recipients of Title II-A awards are required to submit annual fiscal report that are due ninety days after the conclusion of the grant period. ED Staff conducts on-site monitoring.

Program Scope:

In the early years of the program annual appropriations of about $25,000,000 provided each applicant with a basic grant of $5,000 and allowed substantial supplemental and special purpose grants. In FY 71 and 72 appropriations were reduced and priority was given to the neediest institutions, on the basis of recommendations made by the staff and the Commissioner's Advisory Council on Library Resources. This approach was based on data indicating that most junior colleges and many urban institutions were far below national standards. However, the Education Amendments of 1972 required that the first priority was to award basic grants to all eligible institutions, regardless of need.

Fiscal Year	Appropriation	No of Awards	Average amount of Grants
1974	$ 9,975,000	2,377	$ 4,235
1975	9,975,000	2,569	3,918
1976	9,975,000	2,560	3,930
1977	9,975,000	2,600	3,855
1978	9,975,000	2,568	3,906
1979	9,975,000	2,538	3,963
1980	4,988,000	2,604	1,900
1981	2,988,000	2,471	1,200
1982	1,920,000	2,280	840

In fiscal year 1982 2,280 grants of $840 each were awarded for use between October 1, 1982 and September 30, 1983. Approximate number of grants by type of institution are:

Colleges and Universities	1,225
Two year colleges (including vocational and technical shcools)	1,025
Public and Non Profit Library Institutions	

Since the inception of the program in 1966, approxmiately 2,500 institutions of higher education have received grants annually, and 43,853 awards for basic, supplemental, and special purpose grants totalling approximately $193 million have been made.

Program Effectiveness and Progress:

At least 200 institutions improved their libraries sufficiently through this program to receive accredititation, mostly in the 1960's.

In the early 70's a study showed that many institutions gave priority to the utilization of Title II-A grants to purchase materials on urban studies, ethnic studies, and career education. It has been estimated that 75% of the funds were used for the acquisition of printed materials and 25% for nonprint materials.

During ED site visits, in past years, librarians have commented that the availability of any unrestricted funds, which are not part of any departmental book budget, helps them meet special book purchasing needs. In some cases librarians use the Title II-A funds to "match" funds of departmental requests to acquire special publications or materials not in the regular budget.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Studies:

Program operation data

For further information about program operations,

Contact: Frank A. Stevens
(202) 245-9530

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8844

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Career Training
(CFDA No. 84.036)

Legislation:

Title II-B of the Higher Education Act of 1965, as amended by Section 201 of the Education Amendments of 1980 (P.L. 96-374), and P.L. 97-35.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1966	$ 15,000,000	$ 1,000,000
1967	15,000,000	3,750,000
1968	15,000,000	8,250,000
1969	11,800,000	8,250,000
1970	28,000,000	3,969,000
1971	38,000,000	3,900,000
1972	12,000,000	1,993,000
1973	(See HEA II-A College Library Resources Authorization Through 1980)	3,572,000
1974		2,850,000
1975		2,000,000
1976		500,000
1977		2,000,000
1978		2,000,000
1979		2,000,000
1980		667,000
1981[1]	10,000,000	667,000
1982[1]	1,200,000	640,000
1983[1]	1,200,000	Pending

Program Goals and Objectives:

The goal of the program is to provide training opportunities to professionals and paraprofessionals in library and information services. The program objetives are to:

- Increase opportunities for members of underrepresented groups to obtain training in librarianship;
- Increase opportunities for professional advancement for members of underrepresented groups by providing training beyond the master's degree level;

---

[1] Authorization for all HEA Title II-B programs

- Train or retrain library personnel to serve the interests of traditionally underserved groups;
- Train or retrain library personnel in new techniques of information acquisition, transfer and communication technology and in planning, evaluation, and dissemination.

Program Operations:

This is a discretionary grant program which awards grants to institutions of higher education and library organizations or agencies to train persons in librarianship through fellowships, institutes, or traineeships. Through the fellowship program grantees pay fellowship stipends to participants based on the training level of the project. Additional funds are awarded to the institution to assist in covering the cost of the training courses. Funds for institute projects may be used as stipends to participants or to cover the actual cost of the project. A traineeship grantee may choose either the fellowship or institute method of funding. In cases of extreme hardship, dependency and travel allowances may be available under the three types of projects.

Grants for training projects are awarded annually on a competitive basis. A panel of outside experts evaluates each application according to published selection criteria. Using the panel evaluation as guidance, the authorized ED official selects the grantees.

The program is administered through correspondence, telephone, communication, meetings, and review of required reports. Site visits are planned for 25% of the grantees each year.

Program Scope:

The Fiscal Year 1982 appropriation of $640,000 has been shared by 33 institutions for fellowships in 20 States and the District of Columbia. The awards will support 56 master's, 2 post-master's, 13 doctoral, and 3 associate level fellowships. The cost per fellowship at the master's level is $8,000 at the post-master's and doctoral level, $12,000, and at the associate's level $3,500. In 1982, it is estimated that over 65% of the fellowship awards made by grantee institutions will be to ethnic or racial minorities.

Program Effectiveness and Progress:

No known or current data exist which address program effetiveness.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Studies:

Overview of the Library Fellowships Program, by the Bureau of Social Science Research, Inc., of Washington, DC, 1970.

Sources of Evaluation Studies (continued):

Data Collection and Description of HEA Title II-B Institutes, by Rutgers, New Brunswick, New Jersey, 1972.

Program files which contain narrative and fiscal reports, personal interviews, and professional literature.

For further information about program operation,

Contact: Frank A. Stevens
(202) 245-9530

For further information about program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8844

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Research and Demonstrations
(CFDA No. 84.309)

Legislation:

Title II-B of the Higher Education Act of 1965, as amended by Section 201 of the Education Amendments of 1980 (P.L. 96-374), and P.L. 97-35

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1967		$ 3,550,000
1968	(See HEA-II-B Library Career Training authorization for FY 1967 through FY 1972.)	3,550,000
1969		3,000,000
1970		2,171,000
1971		2,171,000
1972		2,750,000
1973		1,785,000
1974		1,425,000
1975	(See HEA II-A College Library Resources Authorization for FY 1973 through FY 1980)	1,000,000
1976		1,000,000
1977		1,000,000
1978		1,000,000
1979		1,000,000
1980		333,000
1981		250,000
1982	(See HEA II-B Training)	240,000
1983		Pending

Program Goals and Objectives:

The purpose of the program is to provide support for research and demonstration projects related to the improvement of libraries, training in librarianship, and information technology and for the dissemination of information derived from such projects. The program aims to improve libraries through economic and efficient information delivery, cooperative efforts and development projects. The program encourages projects of educational significance that can be replicated.

Program Operations:

This program is authorized to make discretionary grants to and contracts with public and private organizations and agencies including institutions of higher education. Eligibility for grants and contracts was expanded to include profit making organizations by the Education Amendments of 1980.

Applications are solicited and reviewed by a panel of experts annually. A review of proposals is conducted according to published criteria. In FY 82 only contracts will be awarded.

Program Scope:

With an appropriation of $250,000 in Fiscal Year 1981, this program supported two contracts and several commissioned papers that were completed in FY 82. These projects included research and dissemination information that is intended to facilitate library improvements through economic and efficient information delivery and cooperative projects. The contracts were:

- Criteria of Effectiveness for Network Delivery of Citizen's Information Through Libraries (Awarded December 1980 to Simmons College - Boston, MA, $57,000)

  This project identified and recorded who uses library network/consortia, for what reasons, and with what degree of success. It provided vital baseline data on the use of network/consortia, and developed a design and performance methodology for library information networks that provide consumer information. This study is a valuable resource for reshaping, reforming, or reorganizaing library networks into a unified national network that is structured, efficient, and more sensitive to the information needs of the people.

- A Library and Information Science Research Agenda for the 1980's (Awarded December 1980 to Cuadra Associates, Santa Monica, CA, $108,654)

  This project developed a national research agenda for library and information science for the 1980s. The results of the project provide guidance for library researchers in university and research institutions, and for agencies of the Federal Government and the private sector. A major challenge was to arrive at a national research agenda that was both relevant to the library and information requirements of the 1980s and that is understandable and supportable by the research community.

  With an appropriation of $240,000 in FY 82, this program awarded a major contract to King Associates, Inc., of Rockville, Maryland, to determine present and future competencies needed by library and information science professionals and to examine the educational requirements necessary to achieve those competencies. This contract will operate for 18 months, commencing October 1, 1982.

Program Effectiveness and Progress:

- Since 1967, $26,465,000 has been funded for research and demonstration to improve library services.

- 312 projects were funded 1967-82.

Type of Program	Total
o Promote interlibrary cooperation to serve specialized groups	66
o Demonstrate applicability of technology to library services	53
o Improve internal management practices to upgrade reader satisfaction	66
o Develop and plan new approaches to library services	75
o Design improved educational programs for libraries and information scientists	52
	312

A study of library cooperatives, networks, and demonstration projects was completed in April 1978, by Applied Management Sciences, Silver Spring, Maryland. It states "The HEA II-B Library Research and Demonstration Program has had a significant impact upon the library and information community merely by virtue of its existence. The program has provided millions of dollars for innovative research and demonstration, where previously there were very few funds available. It is the only Federal Program that as a part of its effort, supports a wide range of research to improve library services. The Program has generated new knowledge about innovative approaches to networking, serving special target groups, utilizing community resources, and new technology. Several projects have been successful locally and a few have had national impact, such as the series of projects which contributed to the development and improvement of the OCLC, Inc.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1. A Study of Library Cooperative, Networks, and Demonstration Projects, by R. Patrick et. al., K. G. Saur, New York, 1980 (2 Volumes).

2. Program Operational Data

For further information about program operations,

Contact: Frank Stevens
(202) 245-9530

For further information about program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8844

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Libraries and Instructional Resources
(CFDA No. 84.088)

Legislation:

Title IV, Part B of the Elementary and Secondary Education act of 1965, as amended by Section 401 of the Education Amendments of 1978 (P.L. 95-561), and P.L. 97-35.

Expiration Date:

September 30, 1982

Funding History:

Year	Authorization	Appropriation 1/
1975	$ 350,500,000	$ 137,330,000
1976	Indefinite	147,330,000
1977	Indefinite	154,330,000
1978	Indefinite	167,500,000
1979	Indefinite	180,000,000
1980	Indefinite	171,000,000
1981	Indefinite	161,000,000
1982		2/
1983		

Program Goal and Objectives:

ESEA Title IV, Part B, is a formula grant program. The purposes of this program as specified by the legislation are the acquisition of school library resources, textbooks, and other materials and equipment for instructional purposes only. Funds are available to State education agencies for administration of the program.

For school year 1980/81 (FY 80 appropriation) guidance, counseling, and testing activities were removed from this program, since Congress has provided a separate authority under the Part D of ESEA Title IV.

Program Operations:

Program funds are allocated to each State from the amount appropriated to carry out Part B in an amount which bears the same ratio to the total as the number of children aged 5 to 17, inclusive, in the State to the number of such children in all the States. The State is required to distribute these funds among local education agencies (LEAs) according to the enrollments in public and nonpublic schools within the school districts of such agencies, except that higher per pupil allocations will be provided to (1) LEAs that make a substantially greater tax effort for education than the State average, but the per pupil expenditure is no greater than the State

---

1/ Program was advance funded; amount appropriated in one fiscal year was available the next fiscal year.

2/ Included in the Education Consolidation and Improvement Act of 1981.

average, and (2) LEAs that have the large proportions of children whose education imposes a higher than average cost, e.g., low-income children, rural children, and children from families in which English is not the dominant language. Local education agencies are given complete discretion (subject to provisions for equitable participation by private school children) in determining which Part B program purposes they will fund. SEAs provide technical assistance on program development and monitor projects for program compliance.

Program Scope:

The 50 States, District of Columbia, Puerto Rico, and the Department of the Interior (for children and teachers in elementary and secondary schools operated for Indian children by the Bureau of Indian Affairs) had ESEA Title IV State plans approved by the Secretary of Education for Fiscal Year 1982; about 16,000 local education agencies had approved Part B projects in Fiscal Year 1982. American Samoa, Guam, Virgin Islands, the Trust Territories of the Pacific Islands, and the Northern Mariana Islands have used Title IV-B funds in the consolidation of funds under the authority of Title V of P.L. 94-134.

Program Effectiveness and Progress:

The following program table contains preliminary data showing actual expenditures of Part B funds in Years 1979-1982.

	1979	1980	1981	1982 (est.)
State Administration	$ 6.7M (4.5%)	$ 6.1M (3.8%)	$10.1M (5.9%)	$ 9.3M (5.8%)
School Library Resources, Other Instructional Materials. and Textbooks	$83.4M (55.3%)	$92.9M (58.2%)	$88.1M (51.5%)	$60.6M (37.6%)
Equipment[1/]	$46.0M (30.6%)	$51.0M (32.0%)	$72.8M (42.6%)	$91.1M (56.6%)
Testing, Counseling, and Guidance[2/]	$14.1M (9.4%)	$ 9.5M (6.05%)	--- ---	--- ---
Total:	$150.2 (100.0%)	$159.5 (100.0%)	$171.M (100.0%)	$161.M (100.0%)

1/ Included minor remodeling.

2/ Guidance, Counseling, and Testing eliminated 1981.

The following information for school year 1981/82 indicates program effectiveness and progress:

- Median per pupil expenditure is $2.28
- An average of $3.66 pr child serves 4.5 million low income children
- An average of $3.29 per child serves 1.2 million rural school children
- Expenditures for equipment have increased dramatically as LEAs introducted microcomputers and video discs
- Funds have assisted in increasing the number of books in public school library media centers.

The ESEA Title IV-B program has a requirement that the aggregate of State, local, and private school expenditure for IV-B purposes in the preceding year equal those of the second preceding year. There is a provision for a waiver of the requirement under certain circumstances. No waiver has been requested since 1977 when Guam requested and received a waiver.

Private school children were able to participate equitably in the program because of the special efforts made by State and local educational agencies and State Title IV Advisory Councils. In FY 1981, an estimated 38.5 million public and 3.8 million private school children participated in the program.

The U.S. Catholic Conference testified that parochial school officials rate this program as the most equitable and the fairest in providing services and benefits to private school children. The National Center for Education Statistics estimates that EAEA IV-B has the highest rate of participation among several Federal programs studied. More than 90 percent of the children enrolled in Catholic schools and 40 percent of children enrolled in all other private schools participated in this program. It is estimated that the percentage of funds expended for Part B benefits to private schools children - 7.4% of the total Part B allocation - corresponds roughly with the percentage of eligible private school children in the school population.

A study completed in FY 1980 examined the implementation and management of the program. This study supports the following conclusions about Title IV:

- Title IV is a popular, well-run program that is praised for its flexibility and ease of administration. State and local program staff cite Title IV as a model Federal program because of its minimal categorical constraints and procedural red tape. Federal [illegible] receive high marks for their ability and responsiveness in program administration.
- Title IV did not result in a consolidated management of former categorical programs. Most states and LEAs manage IV-B independently, as they did the categorical programs replaced by Title IV.

The few that consolidated Title IV management and program activities did so because their pre-existing management style favored program integration. For the most part, however, little or no consolidation occurred because neither the Title IV legislation nor the Federal program response contained incentives for State officials to make more than pro forma response to the Title IV consolidation.

- States and LEAs vary in the substance, management, and quality of their IV-B activities. State and local program staff have taken advantage of Title IV's discretion to shape program activities to their particualr and often quite different needs and management preferences.

  However, both the strength and weakness of Title IV lie in its flexiblity. Title IV's programmatic discretion permits State and local staff to develop activities that respond to their needs much more effectively than a federally developed strategy could. Federal and State directives merely target funds and articulate broad program objectives; State and local staff determine what happens next. State management of IV-B depends on the interests of program staff, their expertise, and their assessment of the program strategies most likely to enhance local practices. Similarly, local interests and skills determine the implementation of Federal and State Title IV regulations. If local commitment or expertise is lacking, Title IV funds can be underutilized, with IV-B becoming primarily a way to fill gaps in local purchasing. In this case, IV-B funds become a wasted opportunity and do little more than maintain the status quo.

- Small IV-B grants can induce substantial improvement in local practices. Small Title IV grants can greatly assist in developing LEA practices and resources because they allow staff to tailor activities to local needs and because they often stimulate local commitment and enthusiasm. The freedom to specify project objectives, identify target groups, and devise project strategies often elicits a level of local creativity and interest that is absent when categorical strings diminish local sense of ownership and contrain choices.

Because Congress granted LEAs complete autonomy (subject to the equitable treatment of private school students) in allocating IV-B funds among the program's eligible purposes, the State has less to do with shaping the program's eligible purposes, and most SEA IV-B staff now see their function as that of monitor and program guideline interpreter. Few SEA staff view themselves as constrained by Federal regulation, however. In fact, many SEA IV-B respondents in this study's sample (46 percent) believe that State-level staff can do more with the program if they so desire. Although it is true for only a minority of States, some SEAs have used State-developed management, planning, and information strategies to persuade LEAs to view IV-B as more than an acquisition service.

Local allocation choices since the IV-B consolidation mirror the purposes of ESEA Title II and NDEA III, former categorical programs. The study based on data for school year 1978-79, found that on average only 8 percent of local IV-B funds are used for guidance and counseling activities; 62 percent of the LEAs in the sample spend none of their IV-B funds on guidance and counseling.

Three-fourths of the LEAs in the sample allocate their funds on a per capita basis to individual schools. In these cases, there is little that can be called a IV-B program, and school site personnel use their IV-B allotment to supplement ongoing activities. However, one of the most impressive observations from the fieldwork is that, when time and effort are spent in developing a focused project, a small IV-B grant often yields a high return. Furthermore, many local administrators report that, especially as local budgets tighten, IV-B funds are critical in maintaining the quality of LEA library/media and individualized instruction programs.

Title IV operations across the country demonstrate that there may be multiple program strategies to achieve a particular aim, and that successful implementation can involve programmatic and organizational development as well as compliance by lower levels of government. The legislative and administrative history of the Title IV consolidation reveals how Federal choices can strongly influence State behavior. At the State level, the way an SEA is organized and its customary way of dealing with LEAs largely determine whether the State acts as a passive funding conduit, concerned only with compliance, or whether it actively shapes Federal programs to promote State priorities. Along with the State's political climate, these factors also critically affect the kind of technical assistance that SEAs provide to LEAs.

An analysis of funding mechanisms and their effect on rural areas indicates that ESEA Title IV-B funding formulas are operating to provide rural areas with at least a proportional share of Federal funds and in most cases somewhat more.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Bass, G. and Berman, P., Funding Mechanisms and Their Effect on Rural Areas: Analysis of Two Federal Programs. The Rand Corporation, 1979.

McDonnell, L. M. and McLaughlin, M. W., et. al. Program Consolidation and The State Role in ESEA Title IV. The Rand Corporation, April 1980.

House Report No. 95-1137, 95th Congress, 2d. Session.

ESEA Title IV Annual Reports.

For further information about program operation,

Contact: Milbrey L. Jones
(202) 245-9687

For further information about program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8844

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening Research Library Resources
(CFDA No. 84.091)

Legislation:

Title II, Part C, of the Higher Education Act of 1965, as amended by Section 201 of the Educational Amendments of 1980 (P.L. 96-374), and P.L. 97-35.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1977	$ 10,000,000	$ -0-
1978	15,000,000	5,000,000
1979	20,000,000	6,000,000
1980	20,000,000	6,000,000
1981	10,000,000	6,000,000
1982	6,000,000	5,760,000
1983	6,000,000	pending

Program Goals and Objectives:

This program makes grants to major research libraries to preserve, maintain and strengthen their collections and make their holding available to individual researchers and scholars and to other libraries whose users have need for research materials. A major research library is defined as a public or private nonprofit institution including the library resources of an institution of higher education, an independent research library, or a State or other public library having a library collection which is available to qualified users and (1) makes a significant contribution to higher education and research; (2) is broadly based and recognized as having national or international significance for scholarly research; (3) is of a unique nature and contains material not widely available; and (4) is in substantial demand by researchers and scholars not connected with that institution.

Program Operation:

No institution receiving a grant under this part may be eligible to receive a grant under Title II, Part A, of the Higher Education Act, College College Library Resources program, in the same fiscal year. A reasonable effort is made to achieve a geographic balance in the allocation of funds. Funds provided may be used for the acquisition of books and other library materials; binding, repairing and preserving books and other library materials; cataloging, abstracting, and making available guides to library collections; distributing materials and bibliographic information to users beyond the primary clientele by electronic, photographic, magnetic or other means; acquisition of equipment, supplies, and communication expense; hiring necessary additional staff to carry out funded activities. This is a discretionary grant program, with an annual competition involving the use of outside review panel as well as staff review. Grantees are required to inform State agencies of their activities under this Title. Monitoring is conducted through site visits, analysis of reports, professional meetings, and writings.

Program Scope:

Thirty-five grants were awarded in FY 1982. These 35 grants will support activities in 40 major research libraries.

The grants range in size from $55,000 to $400,000. The average grant was $165,000. Each of the II-C Regions are represented. Of the 35 grantees, 27 are university libraries, 2 are independent research libraries, 2 are museums, and 1 is a public library.

The three main program activities are collection development, preservation of materials, and bibliographic access and control.

Specific methods to achieve program goals are:

- Acquisition of additional unique and specialized library materials.
- Preservation of rare and unique materials to permit utilization, duplication and sharing.
- Initiation of specialized research projects.
- Initiation and development of networking activities.
- Promotion of inter-institutional cooperative activity.

Program Effectiveness and Progress:

Data provided through interim program reports indicate that interlibrary loan transactions have increased substantially as a direct result of HEA II-C support. Such activity means that research and scholarship throughout the nation will benefit because of the provision of resources which otherwise would not have been available.

In order to make available rare and unique library materials which are unable to be loaned or duplicated a substantial amount of grant funds have been, or are being, used for preservation projects. It is estimated that, since the first year of program operations (FY 78), over 60,000 items were preserved, so that they are now available by interlibrary loan, duplication, or utilization on-site.

All of the projects funded to data under HEA II-C are participating in efforts to implement a national bibliographic control network. A "spin-off" of this activity is the strengthening of regional networking activities essential to the development of a national network. Thousands of cataloged library records have been made available to hundreds of libraries and thousands of scholars and researchers. This bibliographic data also contributes to the savings of many professional and nonprofessional person-hours by avoiding the duplication of basic cataloging, classifying, and indexing functions which would have to be performed locally.

Another cost-effective aspect of the program is the evolution of inter-institutional cooperation, particularly with regard to collection development. As the national data base is built and as specialized collections are developed and strengthened, libraries avoid duplicating purchase of those items which are prohibitively expensive and not in great demand.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program Files

For further information about program operation,

Contact: Frank A. Stevens
(202) 245-9530

For futher information about program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8844

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Television and Technology
Programming (CFDA No. 84.065)

Legislation:

Chapter 2, Subchapter D
Education Consolidation and
Improvement Act (P.L. 97-35)

Expiration Date:

September 30, 1987

Funding History:

Year	Authorization	Appropriation[1]
1972	Indefinite	$ 7,000,000
1973	Indefinite	6,000,000
1974	Indefinite	3,000,000[2]
1975	Indefinite	7,000,000
1976	Indefinite	1,600,000
Transitional Quarter		
1977	Indefinite	7,000,000
1978	Indefinite	5,000,000
1979	Indefinite	6,000,000
1980	Indefinite	6,000,000
1981	Indefinite	6,000,000
1982	Indefinite	5,760,000
1983	Indefinite	Pending

Program Goals and Objectives:

The goal for this program is to carry out the development, production, evaluation, dissemination, and utilization of innovative educational television and technology programs designed to help children, youth, and adults to learn through broadcast and/or nonbroadcast modes of technology. The flexibility of this legislation has permitted the Department of Education to initiate a program broad enough to include a range of activities, from creative planning and development to production, distribution, and utilization of programs which have a potential for helping people to learn.

Program Operation:

Program administration of educational television and technology support has awarded contracts and grants (contracts only from FY 1976 on) for television programming, including the planning, production, evaluation, dissemination, and utilization of programs such as Sesame Street and Footsteps. Utilization projects included activities and print materials designed to enhance and reinforce the effectiveness of programs used in formal and informal educational settings. The development and implementation of a series of strategies in specific community settings address the concern of parents, teachers, and others for using television and radio as positive educational force is another example of a funded activity.

---

[1] Funding from 1972 through 1975 under the Cooperative Research Act, Title IV (P.L. 83-531)

[2] Impounded funds released in FY 1974.

Program Scope:

In FY 1981 and FY 1982 $1,000,000 was transfered to the National Science Foundation for the continued support of an elementary school science and environment series. The first season of 65 programs in this series, 3-2-1 Contact, began broadcasting in January 1980. The series is designed to attract youth into science fields with special emphasis upon attracting minorities and women. The current effort provides partial support for the second set of programs in the series.

In FY 1980, the Program funded Moving Right Along, a series about adolescents and parents, their problems, and family communications. WQED of Pittsburgh, PA was awarded the contract for this production reflecting the Department's commitment to parenting education. Phase I of the project was funded in FY 80 and Phase II of the project was funded in FY 81. The series will include ten, thirty-minute programs with supplemental materials for parents and teachers.

A radio series was funded through Audience Profile Associates of Washington, DC. This program, Almost Even is designed to provide parents, teachers, and teenagers with information and resources that facilitate the transition from adolescence to independence and adulthood. Phase I was funded in FY 80 and Phase II in FY 81. These two new programs continute long term Departmental goals for stregthening the family and to complement the Footsteps series. Almost Even has been awarded a Letter of Recognition of Excellence by the American Association of University Women in their Community category. The series has been adapted as a resource by the Family Service Association of America. It has been cleared for braodcast over the Armed Forces Radio and Television network.

In FY 81 the Department initiated a new series on science and mathematics for the elementary grades ("The Voyage of the MIMI"). This project includes non-broadcast technology as well as the broadcast series. Supplemental materials will include interactive video disc and microcomputer programs. In FY 82 Phase II of this program was funded for $1,999,613.

In FY 1979, a contract was awarded for Powerhouse, a new series on health and nutrition designed to emphasize the relation between nutrition and good health habits. This is directed towards eight to twelve year olds because there is evidence that health habits are likely to be formed during these years. $850,000 was awarded for the first phase of this production effort. $1,800,000 was allocated for the second phase in FY 1980. It is anticipated that this series will be ready for broadcast in 1982.

In FY 82 a television special directed towards the new job market of high technology in the information and communications world will focus on new entrants into the job market and what they need to enter the field. A second special will focus on the young adult who may have been in a mechanical industry and is faced with retraining into electronics and/or information industries.

In order to make all television programs funded by the Department of Education's Division of Educational Technology (DET) accessible to hearing impaired persons, the National Captioning Institute (NCI) is completing the addition of closed captions to programs produced before Fiscal Year 1980. All FY 1980 contracts and subsequent years required closed captions on all programs. By using a decoder, the hearing impaired viewer is able to read captions on the television screen which contain the information that the general audience hears. By the end of 1982, captioning will be completed for over 1,200 half-hour programs in 35 series.

About $35 million worth of programming produced under the Emergency School Aid Act are stored in the Great Plains respository of master tapes. The Great Plains Library provides the service of storing masters for all television programs, duplicating copies as needed, and distributing them to commercial and public television stations, and cable television systems. Great Plains also supplies videotapes to educational institutions and regional networks of public broadcasting stations for in-school utilization. All master tapes and circulating copies will have encoded closed captions by the end of 1982.

Program Effectiveness and Progress:

Over 94 percent of the public television stations that sponsor instructional programming broadcast Music...Is and Footsteps two to six times per week during the last broadcast season. Sesame Street and The Electric Company are used for teaching English in foreign countries and for basic skills education programs in the United States.

In 1977, a national survey was conducted to assess the public's concerns about parent education and general issues surrounding future educational television programming decisions. These data were used as guidance in the production of Footsteps. Data were collected in three ways: (1) five focus group interviews in the five different cities; (2) interviews with 48 professionals whose viewpoint included observation of public trends in social sciences; and (3) a representative sampling of 1300 American households. Five topics emerged as common concerns of all groups. They were: (1) parent education, child development, and family life; (2) economic/vocational skills and attitudes; (3) health and nutrition; (4) interpersonal relationships; and (5) values and morality. In general, the groups had some reservations about the ability of current television programming to deal with these topics, but expressed optimism about television's potential to address serious social concerns. Most respondents associated good programming with public broadcasting. The study also found that good programming must include massive promotional campaigns and positive images of different kinds of people in different kinds of situations.

The Footsteps series has been:

- Adopted as a project for the International Year of the Child
- Recommended for viewing by the National Education Association
- Graded "A" by the National Congress of Parents and Teachers on their films report card (on a scale of A to F)
- Adopted by the General Federation of Women's Clubs as a part of their parent education project
- Adopted as an exemplary exhibit for the International Education Exposition in Geneva, Switzerland
- Adopted as a National 4-H Project for teenagers

Utilization and distribution of the Footsteps program have taken many forms. Having secured off-the-air recording rights, the Division of Educational Technology encourages long term use of the shows. The following are examples of such use:

- The higher education system in Indiana broadcasts a call-in telephone panel show after each program showing on public television. Continuing education and college credits are available for this activity.
- Churches, PTA's, and day care centers in Kentucky are setting up viewing/discussion groups.
- The Appalachian Educational Satellite System will use the shows in 13 states and will encourage home viewing with the home viewer guide, health services utilization by medical personnel, and college credit.
- The Ontario Education Communications Authority is airing the series and will duplicate and distribute copies in Canada to public stations and educational requestors at cost.
- The National Audio Visual Center of GSA has video-cassettes for sale and 16 mm films for sale and rental.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

1. Public Broadcasting Service carriage data, (to determine percentage of use on public television stations).

2. Sesame Street Revisited, by Thomas D. Cook, Hilary Appleton, Roos F. Conner, Ann Shaffer, Gary Tamkin, and Stephen J. Weber, Russell Sage Foundations, NY, 1975.

3. An Assessment of Parent Education and General Needs for Educational Television, Applied Management Sciences, Silver Spring, MD, 1977.

For further information about program operations,

Contact: Frank B. Withrow
(202) 245-0955

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8844

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Metric Education
(CFDA No. 84.079)

Expiration Date:

September 30, 1982

Legislation:

Public Law 95-561, Education Amendments of 1978, Title III, Part B; Public law 97-35, Omnibus Reconciliation Act, Section 513, Education Consolidation and Improvement Act of 1981.

Funding History:

Year	Authorization	Appropriation
1975	$ - 0 -	$ - 0 -
1976	10,000,000	2,000,000
1977	10,000,000	2,090,000
1978	10,000,000	2,090,000
1979	20,000,000	1,840,000
1980	20,000,000	1,840,000
1981	20,000,000	1,380,000
1982	1,380,000	- 0 -
1983	- 0 -	- 0 -

Program Goals and Objectives:

The program's purpose was to encourage and support projects to prepare students in the use of the metric system of measurement as part of their regular educational program through: improving the long term capabilities of individuals and instructional personnel to use and teach the metric system of measurement; developing or adapting new techniques and approaches to meet the educational needs of learner populations, including the constituents of nonprofit agencies; identifying and using local and other resources for metric education purposes; supporting new or existing metric educational activities; and encouraging activities after Federal funding is ended.

Program Operations:

This program was consolidated in FY 1982 with the passage of the Education Consolidation and Improvement Act of 1981, which subsumed the program in Chapter 2 as an activity which State and local education agencies may wish to pursue. In FY 1981, the program solicited proposals for grants and contracts for the following activities: (1) inservice and/or preservice training of teachers; (2) State and multi-State metric educational planning and training; (3) mobile metric education units; (4) development and dissemination of metric educational models and materials; (5) mass media development; (6) school-based interdisciplinary metric instructional projects; (7) the provision of metric educational opportunities for the constituents of nonprofit groups, institutions, organizations and agencies; and (8) the enhancement of national metric conversion efforts.

Program Scope:

FY 1981 grants were made during the month of September 1981, and continued for a year.

Program Effectiveness and Progress:

No evaluation of this program has been conducted.

Current Analytic Activities:

None

Sources of Evaluation Data:

Program records

For further information about program operation,

Contact: Floyd Davis
(202) 426-9303

For further information about program effectiveness,

Contact: Garrett V. Coleman
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Consumers' Education (CFDA No. 84.082)

Legislation:

Title III Part E, of the Elementary and Secondary Education Act of 1965

Expiration Date:

September 30, 1982

Funding History:	Year	Authorization	Appropriation
	1977	$ 15,000,000	$ 3,135,000
	1978	15,000,000	4,068,000
	1979	15,000,000	3,135,000
	1980 not less than	5,000,000	3,617,000
	1981 not less than	5,000,000	1,356,000
	1982	3,600,000	1/

Program Goals and Objectives:

The enabling legislation states that this program is in response to the Congress' findings that consumer education needs to be encouraged and supported in this period of an inflated economy. More specifically, the regulations describe the program goals as developing processes by which consumers:

(1) Acquire skills to make informed decisions in the purchase of goods and services in light of personal values, maximum utilization of resources, available alternatives, ecological considerations, and changing economic conditions;

(2) Become knowledgeable about the laws, rights, and methods of recourse in order to participate effectively and self-confidently in the marketplace and take appropriate action to seek consumer redress; and

(3) Develop an understanding of the consumer-citizen role in the economic, social, and government systems and how to influence those systems to make them responsive to consumers' needs.

1/ Included in the Education Consolidation and Improvement Act of 1981.

Program Operations:

Grants are awarded to State and local educational agencies, institutions of higher education and non-profit agencies to support activities designed to:

(1) establish pilot or demonstration projects, or augment existing projects; (2) provide short-term training to prepare educators and community leaders to plan, organize, and conduct consumers' education projects or teach consumer-related subject matter; (3) establish or expand pilot or demonstration projects to serve the needs of special groups including the elderly, Native Americans, persons with limited English-speaking ability, the handicapped, and urban and rural low-income groups; (4) research, develop, pilot test, evaluate, and disseminate curricula and other activities and materials in consumers' education; and (5) provide consumers' education at the elementary, secondary and higher education levels.

Contracts are awarded to profit-making agencies and to parties listed above to support activities, usually national in scope, which meet specific needs of the Consumers' Education Program. These may be designed to: (1) research, test, assess, evaluate, and disseminate existing consumers' education activities and materials; (2) disseminate information and provide developmental and technical assistance to agencies and organizations that are planning, developing, or carrying out consumers' education projects; (3) prepare and distribute consumers' education materials by the use of mass media; and (4) support other activities necessary for the development of the Consumers' Education Program.

Program Scope:

For 1981, no grants were awarded due to a reduction of approximately sixty percent in the appropriation. In anticipation of the Education Consolidation and Improvement Act (block grants), the Consumers' Education Office made the decision to pull together the results of five years of the grant award activity as well as complete a number of studies, papers and forums which would have implications for consumer educators through-out the country. Twenty-eight contracts and small procurements were awarded to consumer action groups, national consumer organizations, State education departments, universities, and individuals. These represented some 13 States and the District of Columbia. Included in these procurements are a series of impact studies, a number of handbooks and manuals by consumer based organizations, curriculum guides, and teaching resource papers.

Major emphasis has been on the improvement and strengthening of the Consumer Education Resource Network (CERN). The data bank established in prior years is being broadened and response capability improved in order to better serve the field. This direction was chosen so that, upon the cessation of ED's funding, these data and resources would be available in a usable form.

In another major activity, Consumers' Education supported, in part, a television series targeted at junior high school students. ED's share of $150,000 is only part of the project's total cost of $1.7 million. The remainder is being underwritten by the Joint Council on Economic Education and its various State affiliates.

Program Effectiveness and Progress:

In attempting to meet its program goals and objectives, the Consumers' Education Office has tried to have an impact upon the providers of consumer education services rather than upon the consumers. This does not mean direct consumer services have not been provided; however, it has been felt that the most lasting results could be achieved by preparing individuals and organizations to provide more and better services to their students/constituents. To this end, many grants have produced materials which are meant for use with specified audiences, but over broad geographical and interest areas.

The providers of consumer education services, interestingly, are not primarily the school or the university, nor the State or local education agency. Rather, they have been community based groups and larger national consumer organizations. A major contribution of the Consumer Education Office has been to provide a means for networking between these less sophisticated and less established organizations, while gaining access to their wealth of information and making it available to much broader audiences. At the same time CE has provided small grants and contracts for these organizations to fill in the gaps in their services and literature as their experience indicate. An earnest attempt at impacting all major consumer audiences has been made. Reports, manuals, handbooks, papers, and curricula aimed at meeting the consumer education needs of the elderly, the young, the minority, the non-English speaker, the housewife, etc., are now, or soon will be available.

Current Analytic Activity:

The CE Office has let a series of seven small contracts to assess the impact of Consumers' Education funds on the various grantees. These studies are designed to provide, not necessrily statistics, but a descriptive paper which will give a clear picture of long-range accomplishmnts, especially the extent to which they built their capacity to continue providing consumer education and what impact the Federal funds had upon the grantees and the communities they serve. Approximately $66,000 have been alloted for these studies. Another relatively important study being undertaken concerns the study of the current and future directions of consumer science. This is designed to identify current programs in consumer science in institutions of higher education and to recommend directions for strengthening educational opportunties in this field. This procurement is set at about $10,000. The product of this study will include an analysis of representative consumer science programs.

Together, these items should provide to the field an overall view of what has and has not worked in the area of consumer education and indicate best directions for the future.

For further information about program operation,

Contact: Doris Crudup
(202) 426-9303

For further information about studies of program effectiveness,

Contact: Kathryn Crossley
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Women's Educational Equity Act Program (CFDA No. 84.083)

Legislation:

Title IX, Part C of the Elementary and Secondary Education Act of 1965 (designated the Women's Educational Equity Act of 1978) added by the Education Amendments of 1978 (P.L. 95-561)

Expiration Date:

September 30, 1984

Funding History:	Year	Authorization	Appropriation
	1975	$ -0-	$ -0-
	1976	30,000,000	6,270,000
	1977	30,000,000	7,270,000
	1978	30,000,000	8,085,000
	1979	30,000,000	9,000,000
	1980	80,000,000	10,000,000
	1981	80,000,000	8,125,000
	1982	6,000,000	5,760,000

Program Goals and Objectives:

The purposes of the program as stated in the Act are to promote educational equity for women in the United States and to provide financial assistance to enable educational agencies and institutions to meet the requirements of Title IX of the Education Amendments of 1972.

In response to the Act's purposes, the Department has defined its ultimate goals for the program as:

A) The elimination of discrimination on the basis of sex and of those elements of sex role stereotyping and sex role socialization in educational institutions and curricula which prevent full participation by women in educational programs in American society generally.

B) The achievement of responsiveness in educational institutions to the needs and concerns of women arising from inequitable educational policies and practices.

There are two program strategies to achieve these goals. The first is a program of demonstration, development, and dissemination activities of national, general, or statewide significance. The second is direct assistance to projects of local significance to support the operation of programs of equal educational opportunities for both sexes, including activities to achieve compliance with Title IX. According to the Act, this second strategy can only be undertaken when appropriations for the program exceed $15 million. Since funding has remained below this threshold, the second strategy has never been applied.

Specific operating objectives have been established for the development, demonstration, and dissemination strategy to evaluate its success in meeting the program's ultimate goals. These program objectives are as follows:

- o Develop diverse, tested model products and change strategies.
- o Produce and market the best of these model products and strategies to potential users, nationwide.
- o Demonstrate that these model products and strategies are usable, beneficial, and adaptable.
- o Specifically, demonstrate that use of the model products and strategies:
  - produces positive changes in participants' behavior, attitudes, aspirations, and awareness and in educational policy and practice;
  - fosters a conducive environment for equitable change;
  - enhances the capability of the educational system to work for and to achieve educational equity.

Program Operations:

The Women's Educational Equity Act Program (WEEAP) is a discretionary program which may receive aplications for project grants from any public agency, nonprofit organization, or individual. The applications are reviewed by panels whose makeup reflects the concerns of the program. Grants are awarded to the highest rated applications within five priority subject areas established in the program regulations, with consideration also being given to geographic distribution across education levels, and to other criteria for diversity (types of grantees, target populations, types of activity).

The program also funds a publishing service for its products through a contractor, the Education Development Center of Newton, Massachusetts. Technical assistance is provided to grantees during the product development phase of their project by both the contractor and the WEEAP staff.

Grantees develop a diverse array of model products and approaches to promoting and institutionalizing equitable educational policies and practices. Most items are for training educators, counselors, and administrators. Many are for use with students and adult women both in and out of school.

Grantees use part of their funds to have their products reviewed by experts or tested through trial use. They then submit revised materials to the WEEAP publishing center. The WEEA Program Director and the publishing contractor, advised by national review panels, choose the best materials to produce and market nationwide, at cost, usually under $10 per item.

Program Scope:

Since 1979, the WEEAP has also funded five national demonstration sites. They are local school districts in Arizona, Oregon, North Carolina, Florida, and Massachusetts. The teachers, counselors, and administrators at these school-based sites are currently integrating the WEEAP products into their educational programs in combination with other educational equity resources. Beginning in 1981, educators from all over the country have been visiting the demonstration sites to observe these programs.

The WEEAP received 880 (847 new, 33 continuations) grant applications for the 1981 fiscal year and allocated 70% of its $ 8.1 million appropriation to fund 55 of them. 22 were new grants and 33 were continuations of multi-year grants. The levels of education addressed by these grants ranged from preschool through adult. Half of these focused on post-secondary and adult educational levels. About one-third were for elementary and secondary levels. In 1982, the WEEAP received 538 applications for new grants and allocated 439,000 of its $ 5.76 million appropriation to fund 12 of them; 20 continuation grants were awarded, for $ 3.15 million.

The priority categories for project emphases give another indication of the breadth of the program's aims. In 1981 and 1982 grants were distributed among these priorities in the amounts below:

	1982	1981
1. Title IX	30%	30%
2. Minority Women	30%	40%
3. Disabled Women	15%	15%
4. Institutional Leaders	10%	10%
5. Persistent Barriers	15%	0%
6. Other Authorized Activities	0%	5%

Program Effectiveness and Progress:

A two-phased study of the WEEAP was conducted under contract to the U.S. Department of Education. Phase one, completed in January 1981, was an Evaluability Assessment (EA) which established the operating objectives for the program and analyzed the factors which aided or obstructed their achievement. Phase two, completed in

December 1981, was a Rapid Feedback Evaluation (RFE) which collected data on the extent to which the objectives were being met.

The premise for the study was that it was inappropriate and unsound to attempt a formal program evaluation of the WEEAP until an EA had shown that the program was capable of functioning as intended and a RFE using readily available information showed positive results.

The methodology for RFEs emphasizes the use of small samples and the collection of readily available qualitative and quantitative data. Information for this RFE was obtained from:

- 25 product users, about equally divided among post secondary institutions, state education agencies (SEAs), local education agencies (LEAs), and others;
- sales records for 1978 - 1980, and 380 purchase invoices representing a 5% random sample of those on file at the WEEAP Publishing Center;
- nine grantees whose products the Publishing Center judged to be among the highest quality and best selling materials produced and and disseminated through the end of 1980;
- staff for the five national demonstration sites where WEEAP products and approaches are being used in a comprehensive way to implement sex-fair educational programs; and
- nine SEAs that had either been WEEAP grantees, recipients of Civil Rights Act Title IV funds for sex equity activity, or frequent purchasers of WEEAP products.

Data collection methods included in-depth interviews, site visits, and computer analyses of sales records and coded information on purchase invoices.

Development of WEEAP Products

Production and sales data from the WEEAP Publishing Center indicate that the program is meeting its first two objectives of developing a broad range of products and marketing them nationwide:

- A variety of materials have been developed under WEEAP grants. Most were in three major categories: Staff Development; Curriculum; and Career Development.
- Though there are almost 200 items available for sale through WEEAP's Publishing Center, consisting of a diverse array of products and approaches, some interview respondents said there were some gaps and unmet needs, such as:
  - more materials designed specifically for classroom use and staff development at all school levels, elementary through postsecondary;

- more products for use with or by disabled women, minority women, and women re-entering the work force;

- more material designed for use with community groups

- o Most grantees "tested" the products they developed. However, their evaluations were limited in scope and lacked rigor because of the small budgets and short time-lines of many of the grant projects and the limited evaluation expertise of staff.

- o Grantees reported that their inability to demonstrate more dramatic change was the result of methodological or design problems in their evaluations, not weaknesses in their products.

- o The SEAs in this study's sample of WEEAP grantees were the most likely to have done sophisticated product and project evaluations.

Production and Marketing of WEEAP Materials

- o The cumulative total of grantee-developed materials available from the WEEAP Publishing Center more than doubled between 1979 and 1980 (from 69 items to 140).

- o WEEAP product sales more than doubled between 1979 and 1980 in terms of the number of items sold: 12,112 in 1979 and 28,940 in 1980.

- o The WEEAP Publishing Center appeared to be marketing products successfully to potential users for whom they were intended. Between 82% and 92% were purchased by postsecondary institutions, SEAs, and elementary and secondary institutions.

- o WEEAP products also seemed to have modest appeal for unexpected types of purchasers such as churches, YWCAs and prisons.

- o Every state in the nation is represented in the the WEEAP Publishing Center's file of purchase invoices.

Product Quality and Impact

It appears that the WEEAP is meeting its program objectives in the areas of product quality and impact. However, because of weaknesses in the evaluation design, claims regarding impact are not substantiated.

- o WEEAP products were consistently chosen for perceived ease of use. They were judged to be self-explanatory and easy to adapt.

- o Purchasers looked for products that appeared to be easy to use in part and that could be modified without a major curriculum writing effort. WEEAP products were rarely used intact. Parts of a product were selected and adapted to suit the user's needs.

- o WEEAP products were frequently used in combination with other resources. While this suggests that the WEEAP products are flexible enough to be integrated easily with other materials, it rules out the possibility of attributing success directly to WEEAP products and approaches.

- o Grantees and product users accomplished, to their satisfaction, most of the outcomes they expected. The most frequently reported expected outcomes were:

  - to develop useful products and approaches;
  - to increase awareness of or to achieve positive attitude change toward educational equity issues and women's issues on the part of students, educators, and administrators;
  - to train educational and administrative personnel in equity-related skills, approaches, and product utilization; and
  - to initiate or implement equity activities, materials, and projects.

Continued Equity Activity in the Absence of WEEAP Funding

- o Data from interviews with the SEAs in the sample indicate that federal support in the form of information, materials, and funds would be required to sustain their present levels of equity activities in the future.

- o A strong correlation existed between the number of indicators of past SEA involvement in equity activities and the perceived likelihood of continued involvement. Some indicators were:

  - strong Chief State School Officer support for educational equity;
  - an SEA plan for future equity activity;
  - current state funding for equity activity;
  - an SEA role in providing equity-related technical assistance, information dissemination, and monitoring; and
  - strong state legislation and political support for equity.

Conclusion

Based on the finding of this evaluation, the WEEAP can be said to be be meeting its program objectives at the sites in this study. Because of the nature of this study, these findings are not generalizable to all WEEAP grantees and/or users. The findings from this study do provide rough estimates of program performance. They also provide information needed for decision-making regarding the feasibility of a formal evaluation, and what data sources and indicators of accomplishment can be used. Finally, this study provides recommendations for improving program management and evaluation.

Current Analytic Activities:

There are no analytic activities of this program at this time.

Sources of Data:

Rapid Feedback Evaluation of the Women's Education Equity Act Program, American Institutes for Research, Palo Alto, California, (December 1981)

Evaluability Assessment of the Women's Educational Equity Act Program, American Institutes for Research, Palo Alto, California, (January 1981)

For further information about program operation,

Contact: Leslie R. Wolfe
(202) 245-2181

For further information about program effectiveness,

Contact: Kathryn Crossley
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Arts in Education Program (CFDA No. 84.084)

Legislation:

Public Law 95-561, Part C,
Title III

Expiration Date:

September 30, 1982

Funding History	Year	Authorization	Appropriation
	1975	-0-	
	1976	Not less than $ 750,000	$ 750,000
	1977	Not less than 750,000	1,750,000
	1978	Not less than 750,000	2,000,000
	1979	Not less than 750,000	3,000,000
	1980	20,000,000	3,500,000
	1981	20,000,000	3,150,000
	1982	2,025,000	2,025,000

Program Goals and Objectives:

The legislative intent for this program is to encourage and assist State and local educational agencies to establish programs in which the arts are an integral part of elementary and secondary school programs. The program purpose, in accordance with the published regulations, is to:

(1) Encourage the development, in students, of an aesthetic awareness in the arts

(2) Foster self-actualization and the development of communicative skills through movement, sound, visual images, and verbal usage

(3) Involve each student in each school covered by the application in enjoyment, understanding, creation, and evaluation of, and participation in, the arts

(4) Address the spectrum of art forms, including at least dance, music, drama, and the visual arts

(5) Integrate these art forms into the regular educational program as distinguished from treating them on an extra-curricular or peripheral basis

(6) Infuse the arts into the curriculum to enhance and improve the quality of aesthetic education offered, and expand the use of the arts for cognitive and affective learning experience.

Program Operations:

Grants are awarded to State and local education agencies and other public, and private non-profit organizations, institutions and agencies on a competitive basis. The John F. Kennedy Center for the Performing Arts, through the Alliance for Arts Education, provides a variety of forms of technical assistance to grant applicants.

Projects funded tend to combine a variety of activities designed to integrate an appreciation of the arts with educational practices. These activities focus on students as well as on teachers (e.g., through training programs) and other education practitioners (e.g., through State and local conferences).

Program Scope:

The program used some Salary and Expense monies in FY 75 to conduct regional conferences and workshops, and to assist States in planning for arts educational programs. In 1976, grants were awarded for the first time under this program using a specific appropriation of funds for Arts in Education.

The following represents the first four-year program breakdown:

	State	Local	Trust Territories	BIA 1/	Total
1976	41	44	3	1	89
1977	29	47	1	0	77
1978	41	39	0	0	80
1979	43	39	1	0	83

1/ BIA (Bureau of Indian Affairs) was ruled an ineligible applicant to the program by the Office of General Counsel of the Education Division of HEW and has therefore not been considered for funding after this initial grant.

At the State level funded projects have generally included such activities as mini-grant programs for local school districts, Statewide conferences to promote the concept of arts in education, Statewide teacher training activities and the acceptance of a Statewide plan for the arts. At the local level projects are even more varied but have especially narrowed upon inservice teacher training, technical assistance contracts for arts consultants training workshops and project planning research.

In the fall of 1976 Congress appropriated an additional $1 million under the program, over and above $759,000 for FY 77 grants to State and local education agencies. This additional $1 million was provided specifically for: the Alliance for Arts Education ($750,000) and the National Committee/Arts for the Handicapped ($250,000).

From 1977 to 1980, the Congress annually doubled the amount provided for the National Committee/Arts for the Handicapped, bringing its appropriation for 1980 up to $1.5 million. In addition, the Congress increased Arts Education project funds by $500,000 for FY 79. The additional funds were awarded to State and local applicants through a Request for Proposals. The purpose of the RFP was to identify and support programs in arts education which exemplify the infusion of the arts into the basic elementary and secondary school curriculum, community involvement and cooperative planning. There were 10 awards.

Beginning with 1980, the Arts in Education Program revised its funding strategy in an effort to promote collaboration among schools and local arts resources. The FY 80 appropriation remained at $1.5 million. Larger awards (averaging $50,000) but fewer grants were to be made to projects which proposed an effective management of their community arts and education resources. Involvement of such organizations as museums, performing arts companies, universities, and colleges, art councils, and parent groups was a requirement of the new program regulations. Minimum elements of consortium were established for three separate categories of competition: State, urban and rural. There were 20 awards for 1980 under these categories:

State	Urban	Rural
3	8	9

Fourteen of those projects received continuation assistance for FY 81 in addition to which the program made three new awards, one in each category.

	State	Urban	Rural
Continuation	2	7	5
New	1	1	1

Beginning in FY 1982, the discretionary funds of the Arts in Education Program were channeled into block grants to State education agencies, as authorized by Chapter 2 of the Education Consolidation and Improvement Act of 1981. The Arts in Education Program continued to provide support to the national grant with the John F. Kennedy Center for the Performing Arts and the National Committee/Arts for the Handicapped. The FY 1982 budget for this program is $2.025 million of which $675,000 supports programs with the Kennedy Center, and $1.35 million is allocated to the National Committee/Arts for the Handicapped.

Program Effectiveness and Progress:

With four years of "seed" projects now completed and the final reports submitted, certain program trends are noticed. There is a growing tendency among applicants to encompass the secondary school population in an arts project. Nevertheless, the number of projects specifically designed for high school students is disproportionately small compared with the number for elementary school students. Inservice teacher training has remained the activity most often funded while funding for curriculum publishing and dissemination has increased.

Current Analytic Activities:

Data have been collected by program staff which identify the levels of education of students involved in the projects, populations to be benefited, project activities, community resources utilized, evidence of cost-sharing, by-passed groups, university participation, and the level of support of State Arts Education Alliances. An evaluation of the four-year program has been completed by the program office.

Source of Evaluation Data:

Program Reports

For further information about program operation,

Contact: Gail Beaumont
(202) 245-2331

For further information about program effectiveness,

Contact: Kathryn Crossley
(202) 245-9401

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Law-Related Education Program
(CFDA No. 84.123)

Legislation:

Part G, Title III, of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978, P.L. 95-561; and the Omnibus Reconciliation Act, Section 513, Education Consolidation and Improvement Act of 1981, P.L. 97-35.

Expiration Date:

September 30, 1982

Funding History:

Year	Authorization	Appropriation
1978	$ 15,000,000	$ - 0 -
1979	15,000,000	- 0 -
1980	15,000,000	1,000,000
1981	15,000,000	1,000,000
1982	1,000,000	- 0 -
1983	- 0 -	- 0 -

Program Goals and Objectives:

The purpose of the Law-Related Education Program is to enable children, youth and adults to become better informed and more effective citizens through educational programs pertaining to law, the legal system, its processes, and the principles and values on which these are based.

Law-Related Education is not designed for the education of lawyers nor does it include direct training for other careers in law.

Program Operations:

The Law-Related Education Program is a small discretionary program. Law-Related Education awards were made in three categories -- elementary and secondary, exemplary, and technical assistance.

In FY 1982 the program will support established law-related education projects so that these projects can provide technical assistance in initiating new projects at the elementary and secondary level.

In FY 1981, program priorities focused on elementary and secondary projects to assist existing law-related education programs in strengthening, expanding, and institutionalizing their efforts, and in providing technical assistance to new or developing programs in the States or regions. In addition, a few awards were made under the examplary category to support innovative activities in any area authorized by the act. These grants were designed to assist in meeting significant needs and in developing model approaches.

In 1980-81, the Law-Related Education Program worked closely with leaders in the field, e.g., the American Bar Association's Special Committee on Youth Education for Citizenship, to encourage the sharing of ideas and information on topics of widespread interest and concern. In addition, other federal agencies collaborated on policies and undertook complementary activities.

Program Scope:

Institutions which have received awards under this program include LEAs and SEAs, post-secondary institutions, and various non-profit organizations. Projects have served urban, suburan and rural areas; children, teachers, and other adults; individuals with special needs (limited English-speaking capability, handicapped, low-income) and ethnic populations: native americans, blacks, hispanics, asians, etc.

In Fiscal Year 1982, eight projects funded in 1981 will be continued for a second year. Five to seven new technical assistance projects will be funded. One contract will also be supported.

In Fiscal Year 1981 the program supported 26 elementary and secondary projects and one contract.

In Fiscal Year 1980 the program supported eighteen elementary and secondary implementation projects, 10 exemplary projects, two technical assistance projects and one contract.

Program Effectiveness and Progress:

No overall evaluation study has been conducted of this program.

Current Analysis Activities:

None

Sources of Evaluation Data:

Program records

For further information about program operation,

Contact: Howard C. Essl
(202) 245-2284

For further information about program effectiveness,

Contact: Garrett V. Coleman
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Institute of Museum Services[1]
(CFDA No. 84.115)

Expiration Date:

September 30, 1985

Legislation:

P.L. 94-462, Title II, Section 201, the Museum Services Act of 1976; P.L. 94-496, The Arts and Humanities Act of 1980; P.L. 97-35, Omnibus Reconciliation Act of 1981, Section 521.

Funding History:

Year	Authorization	Appropriation
1978	$ 25,000,000	$ 4,110,000
1979	[2]	7,852,000
1980	[2]	10,922,000
1981	25,000,000	12,857,000
1982	9,600,000	11,520,000

Program Goals and Objectives:

This program assists museums in maintaining, increasing and improving their services to the public. The Institute of Museum Services (IMS) awards grants to museums to improve their preservation of the Nation's scientific, historic, and cultural heritage; to continue and expand their educational role; and to help ease the financial burden borne by them as a result of their increasing use by the public. The programs that the Institute of Museum Services undertakes are designed by the National Museum Services Board, the Institute's policy-making board.

Program Operations:

Discretionary grants are awarded for general operating support (GOS) and special projects (SP) to museums of every size and type: art, history and science museums, zoos, aquaria, botanical gardens, arboretums, planetariums, children's, general, and specialized museums. The grant appliations are reviewed by museum professionals, as well as a panel representative of the Museum Services Board. Recommendations for awards are made to the Director of the Institute.

---

[1] Now an independent agency; in fiscal year 1982 IMS was transferred from the Department of Education and established as an independent entity within the National Foundation on the Arts and Humanities.

[2] Such funds as necessary.

General operating support (GOS) grants are one-year grants to museums for meeting the administrative costs of preserving, maintaining, and exhibiting their collections, and for using their collections to provide educational programs for the public.

Special projects (SP) grants are one-year grants which assist institutions in developing and carrying out exemplary educational programs, developing or demonstrating methods of conservation, or developing long-range institutional plans. IMS also awards small, one-time grants for the Museum Assessment Program which enables museums to obtain technical assistance in order to evaluate their programs and operations.

Program Scope:

Year	Applications	GOS Awards	SP Awards	Assessment Awards
1978	850	243	13	-
1979	1718	352	51	-
1980	1475	366	39	-
1981	1311	573	15	400

Grants are awarded in all of the fifty States and several of the territories. Grants can be for up to $35,000, or 10% of a museum's operating budget, whichever is smaller. The average size of an IMS grant is approximately $27,000.

Program Effectiveness and Progress:

After three years of the program and on the basis of reports submitted by museums, IMS has found the following: the majority of IMS' grantees use GOS funds in the area of education. Grantees also use IMS funds to help offset curatorial activities and general admission costs. To a lesser extent, IMS funds are used by institutions for maintenance costs, exhibit preparation, security expenses, and development purposes.

Current Analytic Activities:

None

Sources of Evaluation Data:

Program records

For further information about program operation,

Contact: Mary Kahn
(202) 426-6577

For further information about program effectiveness,

Contact: Garrett V. Coleman
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Institute of Education

Legislation: **Expiration Date**

General Education Provisions Act, Section 405, as amended. September 30, 1985

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 2/
	1973	$550,000,000 1/	$135,851,000
	1974	1/	65,030,000 3/
	1975	1/	58,700,000
	1976	1/	76,100,000
	1977	100,000,000	58,300,000
	1978	200,000,000	76,600,000
	1979	200,000,000	80,607,000
	1980	125,000,000	74,114,000
	1981	120,000,000	65,614,000
	1982	55,614,000	53,389,000
	1983	55,614,000	53,645,000 4/
	1984	55,614,000	---
	1985	175,000,000	---

Program Goals and Objectives:

The National Institute of Education (NIE) was established in 1972 to support, develop and disseminate research which addresses current problems of American education. The Institute seeks to improve the quality of education by focusing on the following priority research and development needs:

- improving student achievement in basic education skills;

- assisting educational institutions with problems of finance and management;

1/The original authorization was for fiscal years 1973-75, later extended to include FY 1976.

2/Program funds only.

3/For fiscal years 1974 through 1979, the appropriations do not include funds for the National Assessment of Education Progress (NAEP) program, which was transferred to NIE in FY 1979. For comparability, the funds required to support NAEP for those years are: FY 1974/$4,357,000; FY 1975/$4,540,000; FY 1976/$4,944,000; FY 1977/$4,648,000; FY 1978/$4,853,000; and FY 1979/ $2,481,000.

4/Proposed

- enhancing the ability of schools in the provision of equal educational opportunities for students of limited English-speaking ability, women, or students who are socially, economically or educationally disadvantaged;

- career education;

- overcoming the special educational problems of the non-traditional student, including those over the age of 45;

- encouraging the study of languages and addressing international educational concerns; and

- improving the dissemination of research results and assisting educational institutions to implement new programs.

The Institute also provides expert testimony to Congress on issues of current interest and significance such as declining enrollments and basic skills achievement.

Program Operations:

In support of research and development, the Institute awards discretionary grants and contracts to a variety of entities and settings. Grants can be awarded to colleges, universities, State departments of education, local education agencies, other public or nonprofit agencies, and certain types of organizations and individuals. Those corporations, institutions or agencies whose earnings benefit private shareholders or individuals are also eligible for contracts. Awards are made through grants competition, request for proposals (RFP), or the unsolicited proposal process.

Approximately fifty percent of the Institute's funding goes to eight regional educational laboratories and nine university-based research and development (R&D) centers. The mission of the labs is to help identify and address R&D needs in specific geographical areas, while the centers are responsible for conducting research in problem areas of national interest.

The Institute's research agenda is developed after consultation with the education community to ensure that the research focuses on critical national issues. The National Council on Educational Research, whose membership is appointed by the President and confirmed by the Senate, provides additional policy guidance. The Council was established by Congress to provide general policy guidance and review the work of the Institute.

There are three major program components within the Institute:

Program on Teaching and Learning, which supports research to enable educators to achieve a better understanding of the most effective methods of teaching and the acquisition of literacy skills. The program also investigates the value and use of student testing.

Program on Dissemination and Improvement of Practice, which collects and distributes the results of educational research to education policy makers, administrators and practitioners. The Educational Resource

Information Center system provides access to the most current research to improve education practices.

Program on Educational Policy and Organization, which supports studies examining issues of school financing, management and organization. This research enables policymakers and administrators to be aware and make use of new information and practices.

The names and locations of the 17 labs and centers follow.

Laboratories

Appalachia Educational Laboratory (AEL; located in Charleston, West Virginia; serves Alabama, Kentucky, Ohio, Pennsylvania, Tennessee, Virginia, and West Virginia)

CEMREL, Inc. (located in St. Louis; serves Illinois, Indiana, Iowa, Kentucky, Michigan, Minnesota, Missouri, Ohio, Tennessee, and Wisconsin)

Far West Laboratory for Educational Research and Development (FWL; located in San Francisco; serves California, Nevada, and Utah)

Mid-Continent Regional Educational Laboratory (McREL; located in Kansas City and Denver; serves Colorado, Kansas, Missouri, Nebraska, North Dakota, South Dakota, and Wyoming)

Northwest Regional Educational Laboratory (NWREL; located in Portland, Oregon; serves Alaska, Hawaii, Idaho, Montana, Oregon, the Trust Territories of the Pacific, and Washington)

Research for Better Schools (RBS; located in Philadelphia; serves Delaware, New Jersey, and Pennsylvania)

Southwest Educational Development Laboratory (SEDL; located in Austin; serves Arkansas, Louisiana, Mississippi, New Mexico, Oklahoma, and Texas)

SWRL Educational Research and Development (SWRL; located in Los Alamitos, California; serves Arizona, California, and Nevada)

Centers

Center for Educational Policy and management (CEPM; located at the University of Oregon)

Center for the Study of Evaluation (CSE; located at the University of California, Los Angeles)

Center for Social Organization of Schools (CSOS; located at The Johns Hopkins University)

Institute for Research on Educational Finance and Governance (IFG; located at Stanford University)

Learning Research and Development Center (LRDC; located at the University of Pittsburgh)

National Center for Higher Education Management Systems (NCHEMS; independent, located in Boulder, Colorado)

National Center for Research in Vocational Education (NCRVE; located at The Ohio State University)

Research and Development Center for Teacher Education (RDCTE; located at The University of Texas, Austin)

Wisconsin Center for Educational Research (WCES; located at the University of Wisconsin, Madison)

Each of the centers has a specific focus. For example, the Center for the study of Evaluation (CSE) concentrates on testing and evaluation. Recent CSE research has examined new and more valid ways of testing literacy and writing ability. By comparison, the Institute for Research on Educational Finance and Governance (IFG) has conducted major studies on the implementation and consequences of different finance arrangements in the education sector.

Other examples of specialized focus include the National Center for Higher Education Management Systems (NCHEMS) which investigates methods to improve planning and management in postsecondary institutions; the National Center for Research in Vocational Education (NCRVE) which is conducting a research program on employability that will analyze the various sectors of society preparing youth for employment; and, the Learning Research and Development Center (LRDC) which focuses on the processes of learning in various schooling contexts.

Program Scope:

The budget authority for NIE in FY 1982 was $53,389,000. Of this amount, about 56 percent was committed to the program on Teaching and Learning; 30 percent for the Disssemination and Improvement of Practice Program, and the remainder for Educational Policy and Organization. The Institute currently employs about 270 full-time staff.

In 1979, NIE adopted a new policy for funding the labs and centers and awarded long-term contracts and grants to them. This policy of long-term funding is currently under review.

Total support from all sources for the individual labs and centers ranges from less than one million to almost ten million dollars, not all of which is derived from the Federal Government. The level of NIE support, in particular, ranges from 100 percent of the total budget for a lab or center to a little over 10 percent. In dollar amounts, NIE support ranges from $750 thousand to $3 million per institution.

Although the Institute's budget authority has been declining in recent years, support to the labs and centers as a percentage of the NIE budget has steadily increased as reflected in the following chart:

		% of NIE's Appropriation
FY 1977	$25.6 million	44%
FY 1978	28.0 million	37
FY 1979	29.6 million	37
FY 1980	30.6 million	41
FY 1981	31.0 million	47
FY 1982	28.2 million	53

In addition, labs and centers have received NIE funding won in competition and awarded through other contracts and grants distinct from the long-term agreements.

NIE also conducts and supports the development of special studies mandated by Congress. Examples of these include:

- Compensatory Education Study - an investigation of the effectiveness of Title I of the Elementary and Secondary Education Act and related State compensatory programs.

- Vocational Education Study - a study that investigated the effectiveness of vocational education and how Federal policy can promote or support this activity.

- School Finance Study - research of the trends, conditions and current problems in school finance. The study also explored options for potential programs or changes in existing programs.

In addition to providing data and analyses to Congress, NIE assists Federal agencies in their policymaking process. Examples of this include:

- Department of the Navy - NIE developed a computer-assisted literacy program for Navy recruits.

- Department of Labor - Participated in the development and evaluation of the Career Intern Program, an alternative high school for potential high school dropouts.

The Institute also attempts to assist State and local policymakers. Some examples of this assistance include:

- In-School Alternatives to Suspension - This report explores ways to assist school districts to decrease their reliance on suspensions as the primary method of disciplining students.

- State and Local Input to National Policy for Linguistic Minority Students - This NIE study examined the relationship between Federal bilingual requirements and those of selected States. It provided the State of Illinois with information to develop a new bilingual policy.

- Plain Talk about School Finance - This paper has been used in 11 states to inform teachers about issues in school finance reform.

NIE also supports the development of material intended to provide assistance to the general education community. The following are examples of this activity.

- Declining Enrollments: The Challenge of the Coming Decade - Now in its second printing, this publication is the first collection of research on declining enrollment.
- The Comprehensive School Mathematics Program is a curriculum designed to increase the math skills of students from kindergarten to sixth grade.

NIE has produced special studies, some of which are considered a primary resource for the subject. For example, a policy study on rural education, "Education in Rural America; A Reassessment of Conventional Wisdom," was the first major study of rural educational policy published in over three decades. The National School Boards Association selected it as one of eleven "must" books for 1977. It is used as a text at universities and by State Legislators.

The NIE-supported publications Social Development of Young Children and Cognitive Development in Young Children, which provide teachers with brief summaries of current research in these areas, have been distributed to over 20,000 educators.

Perhaps the major NIE-supported activity, the ERIC system, provides information on education research and practice more than 2.7 million times per year. NIE estimates that more than a third of the educators in the country have used ERIC,
at least one time.

The following table provides an historical breakdown of NIE's expenditures for major research categories.

	($ in millions)						
Type of activity	FY 76	FY 77	FY 78	FY 79	FY 80	FY 81	FY 82
Fundamental Research	$ 5.5	$ 9.7	$15.3	$17.3	$17.6	$14.5	$11.2
Applied Research	4.7	12.2	13.6	18.2	15.1	14.3	11.7
Development	34.7	17.7	24.2	18.9	12.8	12.6	12.3
Policy Studies	2.2	2.9	6.2	7.3	7.7	5.6	4.3
Dissemination	10.4	15.3	16.9	18.5	20.4	18.6	13.9
TOTAL	$57.5	$57.8	$76.2	$80.2	$73.6	$65.6	$53.4

Program Effectiveness and Progress:

There has been no major formal assessment of NIE to date.

In 1976, however, Congress established a panel of educators to review and report on the 17 regional labs and centers, which had been established by U.S. Office of Education in the mid-1960's as independent entities and had moved under NIE's direct responsibility in 1972. Congress took its act because conflicts had arisen over the relative significance and quality of research and the priority-setting process. The report of the panel, issued in January 1979, strongly endorsed "the concept of research and development centers and regional educational laboratories." The panel found the "institutions doing work of quality and significance for American education."

The panel also made recommendations on future policies and procedures for the labs and centers most of which have been subsequently implemented.

Current Analytic Activities:

The Organizational Performance Service in the Department's Office of Management has conducted Service Delivery Assessments (SDAs) of the Institute's Research and Development Labs and Centers. The SDAs are in draft form and are currently being circulated for comment.

Sources of Evaluation Data:

(1) NIE Budget Officer
(2) OERI Analyst
(3) "NIE: A Valuable Resource in Educational Research and Development" (in-house document)

For further information about program operation,

Contact: Warren Kaufman
(202) 254-6140

For further information about program effectiveness,

Contact: Ron Lux
(202) 245-8877

APPENDIX A

EVALUATION CONTRACTS ACTIVE DURING FISCAL YEAR 1982

APPENDIX A

Evaluation Contracts Active During Fiscal Year 1982

100000 Series: Elementary and Secondary Programs

300000 Series: Postsecondary Programs

500000 Series: Occupational, Handicapped, and Developmental Programs

700000 Series: Program Assessments

900000 Series: Miscellaneous

```
                       SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 2, 1982

                                                                          CONTRACTOR NAME,              PROJECT MONITOR  OBLIG
SER.                                                                      LOCATION, AND TYPE,           & ORGANIZATION   DOLLARS
NO.          CONTRACT NUMBER               DESCRIPTION OF CONTRACT        START AND END DATES


1. ELEMENTARY AND SECONDARY PROGRAMS

                                                                                                         ANDERSON J K 19860064
1 75 001     300-75-0332               EVALUATION OF THE SUSTAINING       SYSTEM DEVELOPMENT CORP.
                                       EFFECTS OF COMPENSATORY EDUCATION  SANTA MONICA, CAL.         (P)   OPE
                                       (PRIMARILY TITLE I FUNDS WITH SOME  7/75 TO  6/82
                                       P&E AND S&E FUNDS)

  FUNDING HISTORY, FY 75:   4025600
                      76:   2149947
                      77:   3410539
                      78:   3865027
                      79:   3082510
                      80:   2775048
                      81:    551393
                                                                                                         BURNS          2766882
1 78 001     300-78-0437               STUDY OF PARENTAL INVOLVEMENT IN   SYSTEM DEVELOPMENT CORP.
  COMPLETED--REPORT AVAILABLE          VARIOUS PROGRAMS (ESAA, FOLLOW THRU, SANTA MONICA, CAL.       (P)   OPBE
                                       S&E, BILINGUAL,TITLE I & P&E        9/78 TO  5/82
                                       FUNDS)

  FUNDING HISTORY, FY 78:    639158
                      79:   1309423
                      80:    601310
                      81:    216791
                                                                                                         STONEHILL      1135454
1 78 011     300-78-0182               AN ANALYSIS OF ISSUES IN ESEA      RMC RESEARCH CORPORATION
  COMPLETED--REPORT AVAILABLE          TITLE I EVALUATION AND REPORTING   MOUNTAIN VIEW, CAL.        (P)   OPBE
                                       (TITLE I FUNDS)                     7/78 TO  6/82
  FUNDING HISTORY, FY 78:    398755
                      79:    259104
                      80:    320315
                      81:    149898
                      82:      7382
                                                                                                         WEINHEIMER     3002585
1 78 031     300-78-0527               STUDY OF DISSEMINATION EFFORTS SUP- NETWORK OF INNOVATIVE SCHOOLS
                                       PORTING SCHOOL IMPROVEMENT          ANDOVER, MASS.            (N)   OPBE
                                       ($1,519,700 DISSEM & $597,618 FOLLOW  9/78 TO 12/81
                                       THRU FUNDS IN 78, ALL DISS 79-81)

  FUNDING HISTORY, FY 78:   2117318
                      79:    164918
                      80:    152184
                      81:    568165
                                                                                                         ANDERSON J I   2371163
1 79 121     300-79-0481               OPERATION OF ESEA TITLE I TECHNICAL RMC RESEARCH CORP.
                                       ASSISTANCE CENTER--REGION I (TITLE  PORTSMOUTH, N. H.         (P)   OPBE
                                       I FUNDS                             10/79 TO  9/82
  FUNDING HISTORY, FY 79:    676713
                      80:    882992
                      81:    811458
```

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 79 122	300-79-0482	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION II (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE PRINCETON N.J. 10/79 TO 9/82	(N)	STONEHILL OPBE	1749542
	FUNDING HISTORY, FY 79: 475468 80: 690066 81: 584008					
1 79 123	300-79-0483	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION III (TITLE I FUNDS)	NTS RESEARCH CORP DURHAM, N.C. 10/79 TO 9/82	(N)	ANDERSON J I OPBE	3219242
	FUNDING HISTORY, FY 79: 917115 80: 1132228 81: 1169899					
1 79 124	300-79-0484	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IV (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE ATLANTA, GA. 10/79 TO 9/82	(N)	ANDERSON J I OPBE	2147229
	FUNDING HISTORY, FY 79: 465519 80: 723728 81: 957982					
1 79 125	300-79-0485	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION V (TITLE I FUNDS EXCEPT $287,434 P&E FUNDS IN FY 80)	EDUCATIONAL TESTING SERVICE EVANSTON, ILL. 10/79 TO 9/82	(N)	ANDERSON J I OPBE	2368856
	FUNDING HISTORY, FY 80: 1320116 81: 1048740					
1 79 126	300-79-0486	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VI (TITLE I FUNDS	POWELL ASSOCIATES, INC. AUSTIN, TEXAS 10/79 TO 9/82	(P)	STONEHILL OPBE	1997599
	FUNDING HISTORY, FY 80: 1194673 81: 802926					
1 79 127	300-79-0487	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VII (TITLE I FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 10/79 TO 9/82	(N)	STONEHILL OPBE	2584426
	FUNDING HISTORY, FY 80: 1660715 81: 923711					
1 79 128	300-79-0488	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VIII (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. 10/79 TO 9/82	(N)	STONEHILL OPBE	2248132
	FUNDING HISTORY, FY 79: 708200 80: 867787 81: 297520 82: 374625					

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 2, 1982

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 79 129	300-79-0489 FUNDING HISTORY, FY 79: 579384 80: 771211 81: 741163	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IX (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. 10/79 TO 9/82	(N)	ANDERSON J I OPBE	2091758
1 79 130	300-79-0490 FUNDING HISTORY, FY 79: 503601 80: 640064 81: 548356	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION X (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. 10/79 TO 9/82	(N)	STONEHILL OPBE	1692021
1 79 402	A00-79-041 FUNDING HISTORY, FY 79: 150000 80: 150000	SUPPORT OF STUDY OF SCHOOL DISTRICT USE OF EVALUATION AND TEST INFORMATION (DISSEM FUNDS PLUS $75,000 TITLE I FUNDS IN FY80)	NATIONAL INSTITUTE OF EDUCATION WASHINGTON, D.C. 9/79 TO 9/82	(F)	MILLSAP NIE	300000
1 79 502	300-79-0675 FUNDING HISTORY, FY 79: 615000 80: 475984 81: 428587	EVALUATION OF THE CLASSROOM INSTRUCTION COMPONENT OF THE ESEA TITLE VII BILINGUAL EDUCATION PROGRAM (BILINGUAL FUNDS)	DEVELOPMENT ASSOCIATES ARLINGTON, VA. 10/79 TO 9/82	(P)	SHOEMAKER OPBE	1519571
1 80 103	300-80-0002 FUNDING HISTORY, FY 80: 36720	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	MASSACHUSETTS STATE DEPT OF ED BOSTON, MASS 3/80 TO 12/81	(S)	ANDERSON J I OPBE	36720
1 80 114	300-80-0933 FUNDING HISTORY, FY 80: 487660 82: 1712145	A DESCRIPTION OF ESEA TITLE I DISTRICT PROGRAMS SINCE 1978 (TITLE I FUNDS)	ADVANCED TECHNOLOGY INC MCLEAN, VA. 9/80 TO 9/82	(P)	TUCKER OPBE	2199805
1 80 202	300-80-0821 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 80: 511536	ANALYSIS OF ESAA-FUNDED ACTIVITIES (ESAA FUNDS)	AUI POLICY RESEARCH WASHINGTON, D.C. 9/80 TO 8/82	(P)	LEWIS OPBE	511536
1 80 301	300-80-0861 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 80: 479919	A GUIDE ON DESIGNING, IMPLEMENTING, AND MONITORING NON-INSTRUCTIONAL SERVER PROGRAMS	NATIONAL URBAN LEAGUE NEW YORK, N. Y. 9/80 TO 6/82	(N)	LEWIS OPBE	479919

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 2, 1982

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 80 501	300-80-0598 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 80: 210000 81: 116674	DEVELOPMENT OF EVALUATION MODELS FOR ESEA TITLE VII BILINGUAL EDUCATION MODELS (BILINGUAL FUNDS)	INTERAMERICA RESEARCH ASSOCIATES ROSSLYN, VA. (P) 6/80 TO 2/82	ENGLISH OPBE	326674
1 81 001	300-79-0522 COMPLETED FUNDING HISTORY, FY 81: 220086	EDUCATION ANALYSIS CENTER	THE RAND CORPORATION SANTA MONICA CAL. 10/81 TO 9/82	MARONEY OPBE	220086
1 81 002	300-81-0399 FUNDING HISTORY, FY 81: 220125	EDUCATION ANALYSIS CENTER	NTS RESEARCH CORP. DURHAM, NORTH CAROLINA (N) 10/81 TO 9/82	MARONEY OPBE	220125
1 81 003	300-81-0398 FUNDING HISTORY, FY 81: 55000	EDUCATION ANALYSIS CENTER	VANDERBILT UNIVERSITY NASHVILLE, TENN. (N) 10/81 TO 9/82	MARONEY OPBE	55000
1 81 101	300-81-0269 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 81: 118769	STATE REFINEMENT TO ESEA TITLE I EVALUATION AND REPORTING SYSTEM (TITLE I FUNDS)	CALIFORNIA STATE DEPT OF EDUC SACRAMENTO, CAL. (S) 9/81 TO 8/82	ENGLISH OPBE	118769
1 81 102	300-81-0271 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 81: 98088	STATE REFINEMENT TO ESEA TITLE I EVALUATION AND REPORTING SYSTEM (TITLE I FUNDS)	UTAH STATE DEPT OF PUBLIC INST SALT LAKE CITY, UTAH (S) 8/81 TO 8/82	ENGLISH OPBE	98088
1 81 103	300-81-0270 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 81: 32121	STATE REFINEMENT TO ESEA TITLE I EVALUATION AND REPORTING SYSTEM (TITLE I FUNDS)	MISSOURI DEPT OF EL & SEC EDUC JEFFERSON CITY, MO. (S) 7/81 TO 5/82	ENGLISH OPBE	32121
1 81 201	300-81-0420 FUNDING HISTORY, FY 81: 477541	ESAA MAGNET SCHOOLS STUDY (ESAA FUNDS)	JAMES H LOWRY & ASSOCIATES CHICAGO, ILL. (P) 10/81 TO 9/82	MESSIER OPBE	477541
1 81 501	300-81-0439 FUNDING HISTORY, FY 81: 203089	SYNTHESIS OF EVALUATION AND RESEARCH EVIDENCE ON BILINGUAL EDUCATION (BILINGUAL FUNDS)	SWRL ED RESEARCH & DEVELOPMENT LOS ALAMITOS, CALIFORNIA (N) 10/81 TO 9/82	SHOEMAKER OPBE	203089
1 82 201	300-82-0008 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 82: 30000	ASSESSMENT OF COMPONENTS OF TIERS AND TAC SUPPORT	JAY MILLMAN ITHACA, N. Y. (I) 1/82 TO 4/82	STONEHILL OPBE	30000

```
                         SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 2, 1982

SER,                                                                  CONTRACTOR NAME,           PROJECT MONITOR  OBLIG
NO,          CONTRACT NUMBER          DESCRIPTION OF CONTRACT        LOCATION, AND TYPE,        & ORGANIZATION  DOLLARS
                                                                     START AND END DATES


1 82 202    300-82-0009                ASSESSMENT OF COMPONENTS OF TIERS    UNIV OF ILLINOIS/LINN             STONEHILL        40000
  COMPLETED--REPORT AVAILABLE          AND TAC SUPPORT                      URBANA, ILL.              (I)     OPBE
                                                                             1/82 TO  4/82
  FUNDING HISTORY, FY 82:     40000

1 82 203    300-82-0010                ASSESSMENT OF COMPONENTS OF TIERS    ROBERT BORUCH                     STONEHILL        40000
  COMPLETED--REPORT AVAILABLE          AND TAC SUPPORT                      EVANSTON, ILL.            (I)     OPBE
                                                                             1/82 TO  4/82
  FUNDING HISTORY, FY 82:     40000

1 82 204    300-82-0011                ASSESSMENT OF COMPONENTS OF TIERS    MARVIN ALKIN                      STONEHILL        30000
  COMPLETED--REPORT AVAILABLE          AND TAC SUPPORT                      NORTHRIDGE, CAL.          (I)     OPBE
                                                                             1/82 TO  4/82
  FUNDING HISTORY, FY 82:     30000

1 82 205    300-82-0012                ASSESSMENT OF COMPONENTS OF TIERS    NIS/REISNER                       STONEHILL        30000
  COMPLETED--REPORT AVAILABLE          AND TAC SUPPORT                      WASHINGTON, D. C.         (P)     OPBE
                                                                             1/82 TO  4/82
  FUNDING HISTORY, FY 82:     30000

....................SUBTOTAL ELEMENTARY AND SECONDARY PROGRAMS          56203797

  FUNDING HISTORY, FY 67-69:           0
                        70:           0
                        71:           0
                        72:           0
                        73:           0
                        74:           0
                        75:     4025600
                        76:     2149947
                        77:     3410539
                        78:     7020258
                        79:     9906955
                        80:    16084256
                        81:    11342090
                        82:     2264152
                        83:           0
```

```
                         SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 2, 1982

SER.                                                                               CONTRACTOR NAME,          PROJECT MONITOR  OBLIG
NO.           CONTRACT NUMBER                 DESCRIPTION OF CONTRACT             LOCATION, AND TYPE,       & ORGANIZATION  DOLLARS
                                                                                  START AND END DATES

3. POSTSECONDARY PROGRAMS

3 75 011    FUNDS TRANSFER               SUPPORT OF THE HIGHER EDUCATION     NATIONAL SCIENCE FOUNDATION        CORRALLO        702963
                                         PANEL (CONTINUING PROJECT)          WASHINGTON, D. C.              (F)  OPBE
                                                                              7/74 TO  9/82
  FUNDING HISTORY, FY 75:      63442
                      76:      62900
                      77:      70000
                      78:      77190
                      79:      77250
                      80:     141262
                      81:      99757
                      82:     111162

3 78 010    300-78-0356                  EVALUATION OF THE SPECIAL SERVICES  SYSTEM DEVELOPMENT CORP.           BERLS          1613185
                                         FOR DISADVANTAGED STUDENTS PROGRAM  SANTA MONICA, CAL.             (P)  OPBE
                                                                              9/78 TO  8/83
  FUNDING HISTORY, FY 78:     995263
                      80:     437922
                      82:     180000

3 79 001    300-79-0776                  THE FINANCIALLY DISTRESSED INSTITU- AMERICAN COUNCIL ON EDUCATION      CORRALLO        288820
  COMPLETED--REPORT AVAILABLE            TION                                WASHINGTON D.C.                (N)  OPBE
                                                                              9/79 TO 12/82
  FUNDING HISTORY, FY 79:     288820

3 79 002    300-79-0777                  EVALUATION OF THE LANGUAGE TRAINING THE RAND CORPORATION               BERLS           637827
                                         AND AREA STUDIES PROGRAM            SANTA MONICA CAL.              (N)  OPBE
                                                                             10/79 TO  6/83
  FUNDING HISTORY, FY 79:     483423
                      80:      64148
                      82:      90256

3 80 002    300-80-0834                  ASSESSMENT OF THE STRENGTHENING     RESEARCH TRIANGLE INSTITUTE        CORRALLO        789129
                                         DEVELOPING INSTITUTIONS PROGRAM     DURHAM, N. C.                  (N)  OPBE
                                                                              9/80 TO  6/83
  FUNDING HISTORY, FY 80:     127561
                      81:     325718
                      82:     335850

3 81 001    300-81-0307                  INSULAR AREA POSTSECONDARY EDUCATION URBAN SYST RES & ENGINEERING      CORRALLO        160144
  COMPLETED--REPORT AVAILABLE            STUDY OF THE DEPT OF ED             CAMBRIDGE, MASS.               (P)  OPBE
                                                                             10/81 TO  3/82
  FUNDING HISTORY, FY 81:     160144

3 81 002    300-81-0245                  SUPPORT OF 1981 COOPERATIVE INSTI-  CAL, U OF, AT LOS ANGELES          BART            361684
                                         TUTIONAL RESEARCH PROGRAM           LOS ANGELES CAL.               (A)  OPBE
                                         DATA ACQUISITION AND ANALYSIS OF     3/81 TO  3/84
                                         ANNUAL FRESHMAN SURVEY
  FUNDING HISTORY, FY 81:     110000
                      82:     121684
                      83:     130000
```

```
                               SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 2, 1982

SER,                                                                         CONTRACTOR NAME,           PROJECT MONITOR  OBLIG
NO,         CONTRACT NUMBER            DESCRIPTION OF CONTRACT              LOCATION, AND TYPE,        & ORGANIZATION  DOLLARS
                                                                            START AND END DATES


3 81 003    300-81-0210           TECHNICAL SUPPORT FOR POSTSECONDARY  APPLIED SYSTEMS INSTITUTE         MAXWELL        293327
                                  EDUCATION PLANNING                   WASHINGTON, D, C.           - (P)  OPBE
                                                                        7/81 TO  3/83
  FUNDING HISTORY, FY 81:     95966
                      82:    197361

......................SUBTOTAL POSTSECONDARY PROGRAMS                          4847079

  FUNDING HISTORY, FY 67-69:          0
                        70:          0
                        71:          0
                        72:          0
                        73:          0
                        74:          0
                        75:      63442
                        76:      62900
                        77:      70000
                        78:    1072453
                        79:     849493
                        80:     770893
                        81:     791585
                        82:    1036313
                        83:     130000
```

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 2, 1982

```
SER.                                                                              CONTRACTOR NAME,               PROJECT MONITOR  OBLIG
NO.              CONTRACT NUMBER              DESCRIPTION OF CONTRACT            LOCATION, AND TYPE,            & ORGANIZATION  DOLLARS
                                                                                 START AND END DATES

5. OCCUPATIONAL, HANDICAPPED, DEVELOPMNTL

5 77 502    100-76-0127&100-79-0101   PREPARATION OF COMPUTER-PREPARED     PINKERTON COMPUTER CONSULTANTS      SPITZER         105000
                                      TABLES FOR ANNUAL CONGRESSIONAL      BAILEY'S CROSSROADS, VA.       (P)   OPBE
                                      REPORT ON STATE USES OF FEDERAL       2/77 TO 12/81
                                      EDUCATION FUNDS
  FUNDING HISTORY, FY 77:      25000
                      78:      25000
                      79:      25000
                      80:      15000
                      81:      15000

5 78 101    300-78-0289               TEACHER CORPS PROGRAM 78 AND         STANFORD RESEARCH INSTITUTE         NARAYANAM      2858660
                                      PROGRAM 79 EVALUATION ($2,648,473    MENLO PARK, CALIF.             (N)   OERI
                                      TEACHER CORPS FUNDS IN FY 78          8/78 TO 10/81
                                      (TRANSFERRED TO OERI IN 1981)
  FUNDING HISTORY, FY 78:    2718473
                      79:     140187

5 79 201    300-79-0775               AN ASSESSMENT OF INSERVICE TRAINING  APPLIED MANAGEMENT SCIENCES INC     KIRSCHENBAUM    520614
  COMPLETED--REPORT AVAILABLE         FOR REGULAR CLASSROOM TEACHERS       SILVER SPRING, MD.             (P)   OPBE
                                                                            9/79 TO  1/82
  FUNDING HISTORY, FY 79:     140361
                      80:     360810
                      81:      19443

5 80 504    300-80-0929               EVALUATION OF THE BASIC SKILLS       KIRSCHNER ASSOCIATES                KIRSCHENBAUM    138024
                                      IMPROVEMENT PROGRAM (BASIC SKILLS    WASHINGTON, D.C.               (P)   OPBE
                                      FUNDS)                                9/80 TO  1/82
  FUNDING HISTORY, FY 80:     136550
                      81:       1474

5 80 505    300-80-0862               EVALUATION OF THE IMPACT OF THE PART DEVELOPMENT ASSOCIATES              SHULER         1443418
                                      A PROGRAMS AND PROJECTS FUNDED UNDER ARLINGTON, VA.                 (P)   OPBE
                                      TITLE IV OF THE INDIAN EDUCATION      9/80 TO  2/83
                                      ACT (INDIAN ED FUNDS)
  FUNDING HISTORY, FY 80:     326678
                      81:    1116740

5 81 201    NIE-D-81-0012             PLANNING FOR THE EVALUATION OF       DINGLE ASSOCIATES                   RUDNER           19243
                                      EDUCATIONAL TELEVISION (ESAA FUNDS)  WASHINGTON, D.C.               (P)   NIE
                                                                            9/81 TO  1/82
  FUNDING HISTORY, FY 81:      19243
```

```
                          SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 2, 1982

SER,                                                                    CONTRACTOR NAME,              PROJECT MONITOR  OBLIG
NO,          CONTRACT NUMBER             DESCRIPTION OF CONTRACT       LOCATION, AND TYPE,           & ORGANIZATION   DOLLARS
                                                                        START AND END DATES

....................SUBTOTAL OCCUPATIONAL, HANDICAPPED, DEVELOPMNTL        5084959

   FUNDING HISTORY, FY 67-69:         0
                          70:         0
                          71:         0
                          72:         0
                          73:         0
                          74:         0
                          75:         0
                          76:         0
                          77:     25000
                          78:   2743473
                          79:    305548
                          80:    839038
                          81:   1171900
                          82:         0
                          83:         0
                          SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 2, 1982

SER,                                                                             CONTRACTOR NAME,           PROJECT MONITOR  OBLIG
NO.           CONTRACT NUMBER                DESCRIPTION OF CONTRACT           LOCATION, AND TYPE,        & ORGANIZATION  DOLLARS
                                                                               START AND END DATES

7. DIVISION OF PROGRAM ASSESSMENTS

7 80 001    300-80-0600                 ASSESSMENT OF THE WOMEN'S EDUCA-    AMERICAN INSTITUTES FOR RESEARCH   HABERLE         253415
                                        TIONAL EQUITY ACT PROGRAM (WEEA     PALO ALTO, CAL.              (N)   OPA
                                        FUNDS)                               7/80 TO  1/82
  FUNDING HISTORY, FY 80:     68246
                      81:    185169

7 80 002    300-80-0825                 PROGRAM ANALYSIS AND PRELIMINARY    AMERICAN INSTITUTES FOR RESEARCH   SCATES          641698
                                        ASSESSMENT OF SELECTED FEDERAL      PALO ALTO, CAL.              (N)   OPA
                                        EDUCATION PROGRAMS                   9/80 TO  9/82
  FUNDING HISTORY, FY 80:    439102
                      81:    202596

...................SUBTOTAL DIVISION OF PROGRAM ASSESSMENTS               895113

  FUNDING HISTORY, FY 67-69:          0
                         70:          0
                         71:          0
                         72:          0
                         73:          0
                         74:          0
                         75:          0
                         76:          0
                         77:          0
                         78:          0
                         79:          0
                         80:     507348
                         81:     387765
                         82:          0
                         83:          0
                         SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 2, 1982

SER.                                                                     CONTRACTOR NAME,          PROJECT MONITOR  OBLIG
NO.          CONTRACT NUMBER              DESCRIPTION OF CONTRACT       LOCATION, AND TYPE,       & ORGANIZATION   DOLLARS
                                                                         START AND END DATES

9. MISCELLANEOUS

9 77 001    HEW-100-77-0034          COMPUTER TIME IN SUPPORT OF          COMNET COMPUTER NETWORK CORP.     DEVER          1323508
                                     PLANNING AND EVALUATION PROJECTS     WASHINGTON, D.C.            (P)
                                     (INCLUDES $5000 TITLE I FUNDS IN      5/77 TO  9/83
                                     FY 80)
  FUNDING HISTORY, FY 77:     33124
                      78:    247000
                      79:    295000
                      80:    270000
                      81:    220000
                      82:    258384

9 82 001    WHZ1 ACCT AT NIH         TRANSFER OF FUNDS TO NIH FOR USE OF  NATIONAL INSTITUTES OF HEALTH     GINSBURG        225000
                                     NIH COMPUTER FACILITY                BETHESDA, MD.               (F)  OPBE
                                                                          10/81 TO  9/83
  FUNDING HISTORY, FY 82:    225000

.....................SUBTOTAL MISCELLANEOUS                            1548508

  FUNDING HISTORY, FY 67-69:          0
                         70:          0
                         71:          0
                         72:          0
                         73:          0
                         74:          0
                         75:          0
                         76:          0
                         77:      33124
                         78:     247000
                         79:     295000
                         80:     270000
                         81:     220000
                         82:     483384
                         83:          0
```

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 2, 1982

```
SER,                                                                                      CONTRACTOR NAME,             PROJECT MONITOR  OBLIG
NO,            CONTRACT NUMBER                   DESCRIPTION OF CONTRACT                 LOCATION, AND TYPE,          & ORGANIZATION   DOLLARS
                                                                                          START AND END DATES


.....................GRAND TOTAL     68579456

   FUNDING HISTORY, FY 67-69|               0
                          69|               0
                          70|               0
                          71|               0
                          72|               0
                          73|               0
                          74|               0
                          75|         4089042
                          76|         2212847
                          77|         3538663
                          78|        11083184
                          79|        11356996
                          80|        18471535
                          81|        13913340
                          82|         3783849
                          83|          130000
```